

Department of Defense



Manual for Written Material

March 1996

**Director of Administration and Management
Office of the Secretary of Defense**



Administration
& Management

OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, DC 20301

FOREWORD

This Administrative Instruction (AI) reissues AI No. 7, "Manual for Written Material," January 1993, which is hereby canceled. Its purpose is to provide guidance on the approved methods for preparing and submitting Secretary and Deputy Secretary of Defense correspondence as well as an acceptable method of organizing and preparing material to provide uniform, clear, concise and factual documentation at all levels.

This AI applies to the Office of the Secretary of Defense (OSD) and activities supported administratively by Washington Headquarters Services.

This AI is effective immediately.

Forward recommended changes to this AI through channels to:

DIRECTORATE FOR CORRESPONDENCE AND DIRECTIVES
ATTN: CHIEF, CCD RM 3A948
WASHINGTON HEADQUARTERS SERVICES
1155 DEFENSE PENTAGON
WASHINGTON DC 20301-1155

A handwritten signature in cursive script, appearing to read "D. O. Cooke".

D. O. Cooke
Director

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C1. CHAPTER 1

GENERAL PROVISIONS

C1.1. REFERENCES

- (a) Administrative Instruction No. 7, "Manual for Written Material," January 1993 (hereby canceled)
- (b) DoD 5200.1-R, "Information Security Program Regulation," June 1986, authorized by DoD Directive 5200.1, June 7, 1982
- (c) Correspondence & Directives Memorandum, Subject: "Implementation Plan for Pentagon Building Addresses and Zip+4 Codes," July 7, 1992
- (d) CJCS Instruction 5720.01, "Message Management and Preparation," April 29, 1994
- (e) Executive Order 12958, "Classified National Security Information," April 1995

C1.2. REISSUANCE AND PURPOSE

C1.2.1. This Administrative Instruction (AI) reissues reference (a). It provides the approved methods for preparing and submitting Secretary and Deputy Secretary of Defense correspondence as well as an acceptable method of organizing and preparing material to provide uniform, clear, concise and factual documentation at all levels. It further provides grammar, punctuation and editing data unique to Government writing.

C1.2.2. If variations seem appropriate or issues are particularly complicated, consult the Directorate for Correspondence and Directives, Correspondence Control Division prior to submitting the document. The Correspondence Control Division is located in the Pentagon, Room 3A948. Office telephone numbers are as follows:

Unclassified Control Branch	703-695-3133
White House Liaison Office	703-695-6151
Classified Control Branch	703-697-6131
NATO Sub-registry	703-697-6395
Suspense Control	703-697-9287
Records and Files	703-697-9285

C1.3. APPLICABILITY

This AI applies to the Offices of the Secretary of Defense (OSD) and activities for which the Washington Headquarters Services (WHS) provides administrative support. Procedures and guidance contained herein are to be used for all correspondence addressed to, or emanating from, the Offices of the Secretary and Deputy Secretary of Defense.

C1.4. AUTHORITY AND RESPONSIBILITY

C1.4.1. The Directorate for Correspondence and Directives (C&D), Correspondence Control Division (CCD) has overall responsibility for establishing correspondence management policy and publishing guidance for the Office of the Secretary of Defense.

C1.4.2. All incoming and outgoing material, classified and unclassified, directed to the Secretary and Deputy Secretary of Defense must be processed through the CCD. All OSD Components should establish channels and procedures to this end. (Note: OSD Components are defined as the Offices of the Secretary of Defense, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified Combatant Commands, the Defense Agencies and activities receiving administrative support by the OSD.)

C1.4.3. The CCD will process and C&D Cable Division will dispatch all electronic communications (except operational orders) signed or released by the Secretary, Deputy Secretary and Executive Secretary. All such communications requiring electronic transmission must be prepared by the originating office on diskettes using SARA-Lite software. Only the Secretary, Deputy Secretary, Military Assistants to the Secretary and the Executive Secretary are authorized to approve release of the Secretary's electronic communications.

C1.4.4. The CCD is responsible for:

C1.4.4.1. the receipt, analysis and action assignment of all material addressed to or coming from the Secretary and Deputy Secretary of Defense;

C1.4.4.2. assigning suspenses, tracking actions and entering all items into the OSD Correspondence Control System; and,

C1.4.4.3. weekly publication of the Secretary of Defense "Report of Due and Overdue Correspondence" that is forwarded to the DoD Components assigned action on correspondence by CCD.

C1.4.5. The CCD is further responsible for maintaining the official records of the Secretary and Deputy Secretary of Defense. This includes the preparation of the Secretary's official files for retirement. The utilization of the CCD Correspondence Control and Tracking System provides for the maintenance of Secretary and Deputy Secretary of Defense incoming, outgoing and Department-generated material.

C1.5. PROCEDURES

C1.5.1. Material Addressed to the Secretary and Deputy Secretary of Defense (hereafter referred to as the Secretary and Deputy Secretary)

C1.5.1.1. Submission

C1.5.1.1.1. The paper flow to the Secretary and Deputy Secretary consists of several stages and is designed to be a well-disciplined, orderly operation that effectively contributes to the mission of the Department of Defense (DoD). All material from the OSD Components should be processed through appropriate correspondence control points and delivered to the CCD, Room 3A948, in the Pentagon. This enables the Secretary's office to review all items and permits the CCD staff to control and arrange for follow-up actions as necessary.

C1.5.1.1.2. The following materials may be handcarried directly to the Executive Secretary, Room 3E854 or 3D843: Items for Breakfast Books, Items for Day Books, Retirement Letter Requests to the White House Military Office, Intelligence Daily Summaries, J-3 Operational Summaries (Daily and Weekly), Weekly Activity Report Submissions, and Notifications to White House of Servicemember Deaths.

C1.5.1.1.3. Correspondence not listed in paragraph C1.5.1.1.2., above, must NOT be directly handcarried to the Offices of the Secretary and/or Deputy Secretary since it will be routinely rerouted to the CCD for control. The CCD's control of documents creates a minimal lag in processing that is compensated by the total start-to-finish control over each package.

C1.5.1.1.4. Correspondence requiring expeditious processing should be

flagged with a red tag. The CCD will ensure these materials receive priority processing and delivery to the Secretary and Deputy Secretary.

C1.5.1.1.5. Extremely hot communications that require Secretary or Deputy Secretary attention within two hours should be flagged with a "green dot" and hand-carried to the Executive Secretary. These communications will normally apply to items such as those listed in Paragraph C1.5.1.1.2., above.

C1.5.1.2. Cover Memorandums. Submit all correspondence for signature or approval and all material of an information nature under cover of an "ACTION MEMORANDUM" or an "INFORMATION MEMORANDUM" (so indicated at the end of the subject line of the cover memorandum). The terms "cover memorandum," "cover brief" and "executive summary" are interchangeable—all refer to a one-page cover document used to transmit material to the Secretary or Deputy Secretary for either their action (signature or decision) or information. Do not title the one-page cover document with any such caveats—it is a waste of space. Cover memorandums must be signed or initialed by the head of the originating OSD Component or, in his or her absence, the Principal Deputy. See C4. CHAPTER 4 and C5. CHAPTER 5 for additional information and examples of cover memorandums.

C1.5.1.2.1. An ACTION MEMORANDUM transmits an item for signature or otherwise recommends that the Secretary or Deputy Secretary make a decision.

C1.5.1.2.2. An INFORMATION MEMORANDUM provides information to the Secretary or Deputy Secretary but does not require immediate action or decision.

C1.5.1.3. Messages. Letters to foreign addressees or information requiring dispatch via electronic communications (message) must be prepared by the originating office on diskettes using SARAH-Lite software. The diskette, a diskette release form, and a paper copy of the message are required and should be included in the signature package at the time of submission for signature. The indicator "FM SECDEF WASH DC" will be used only on outgoing messages that are actually from the Secretary or Deputy Secretary. The internal distribution/local routing block must include the following: SECDEF-N/SECDEF-C. To obtain the SARAH-Lite software, contact the Cable Division at 703-697-8151. The letter version will be processed by the CCD to the addressee(s) via State Department Pouch System, APO, or facsimile, as appropriate. See CJCS Instruction 5720.1 (reference (d)) for additional information.

C1.5.2. Material from, or Addressed to, the White House and State Department

C1.5.2.1. All correspondence personally to or from the Secretary of State and the President, to include the Vice President, the Chief of Staff and his/her Deputy, and the Assistant to the President for National Security Affairs and his/her Deputy will be routed through the CCD to the Secretary or the Deputy Secretary.

C1.5.2.2. Correspondence concerning high-level National security policy actions to or from the State Department and the White House must be routed through the CCD to the Secretary or Deputy Secretary. Any component that receives communications from the President or his/her staff shall refer such communication to the DoD Executive Secretary. No direct communication is authorized without the express approval of the Secretary, Deputy Secretary or Executive Secretary.

C1.5.2.3. Communications from the Offices of the President concerning routine administrative, logistical, transportation, military personnel and emergency action matters not involving National security policy shall be channeled by the White House Military Office through CCD to the DoD Executive Secretary and vice versa. The DoD Executive Secretary and the White House Military Office will process and/or monitor all such actions.

C1.5.2.4. There will be no exceptions to the foregoing except as specifically authorized by the Secretary or Deputy Secretary.

C1.5.3. Coordination. All cover memorandums should be fully coordinated by appropriate OSD Staff officials prior to submission to the Secretary and Deputy Secretary.

C1.5.3.1. Coordinations should be reflected on the "Coordination" line on cover memorandums addressed to the Secretary and Deputy Secretary. Concurrence(s) may be reflected by typing the appropriate office symbol with a short line for the recognizable initials of the coordinating official; i.e., USD(A&T) _____. A separate sheet listing coordinators and their initials/signature may be appended to the package as an attachment. In this case, the "Coordination" line on the cover memorandum would reflect "See attached coordination sheet(s) at Tab ____." Comments by coordinators may be appended to the package in the same manner.

C1.5.3.1.1. Obtain concurrences from the head of the OSD Component involved or, in his or her absence, the Principal Deputy.

C1.5.3.1.2. If an OSD Component deputy (i.e., Principal Deputy, Deputy Under Secretary, or Deputy Assistant Secretary) signs or coordinates on a paper addressed to the Secretary or Deputy Secretary, it is presumed that he or she does so with the knowledge and approval of his or her superior.

C1.5.3.2. When offices nonconcur in a memorandum, include a full explanation of the differences, either in the memorandum or in a supplement attached to the memorandum. Justification for recommending that the nonconcurrence be overruled should be included in the cover memorandum.

C1.5.3.2.1. In no case shall disagreement on recommendations hold up orderly and rapid progress of a paper.

C1.5.3.2.2. In constructing memorandums, the inclusion of differing views and the full range of reasonable options means that all interested parties can make their views known without undue time spent negotiating.

C1.5.3.3. When no coordination is necessary, or when a particular OSD office appears to have an interest but need not be consulted, include a statement to that effect at the end of the memorandum.

C1.5.3.4. Coordinate with the Executive Secretary on material such as draft replies to inquiries received from the White House and direct replies to inquiries referred to the DoD when copies are requested by the White House staff.

C1.5.3.5. Coordinate with the Assistant Secretary of Defense (Legislative Affairs) (ASD(LA)) on all correspondence addressed to Members of Congress and their staffs, as well as correspondence originating in the OSD for Congress. Congressional correspondence addressed to the Secretary or Deputy Secretary that forwards a constituent's letter for response by the Department requires ASD(LA) coordination; follow the guidance provided on the SD Form 14. Exception: Congressional correspondence forwarding a constituent's letter for response by the Department does not usually require ASD(LA) coordination.

C1.5.3.6. Coordinate with the Assistant to the Secretary of Defense (Public Affairs) (ATSD(PA)) on all correspondence that may result in release of information with public affairs implications, and on all requests for the Secretary or Deputy Secretary to participate in media, speaking, and other activities conducted by them in public forum or, if in a DoD or military setting, which are expected to include media coverage.

C1.5.3.7. Coordinate with the General Counsel, DoD, all correspondence having any legal effect, affect, or possible adverse reflection upon the Department and all correspondence based on law.

C1.5.3.8. Coordinations from the Joint Chiefs of Staff (JCS) must be obtained from either the Chairman, Vice-Chairman or Director, Joint Staff.

C1.5.4. Action Assignment and Suspense Requirements

C1.5.4.1. Action Assignment

C1.5.4.1.1. The CCD is responsible for the receipt, analysis, and action assignment of all correspondence addressed to the Secretary and Deputy Secretary, Congressional correspondence addressed to the ASD(LA), and of all White House correspondence referred to the DoD. Dissemination of Secretary and Deputy Secretary correspondence is controlled by using a system of eight-digit (including the year) case control numbers with each number being prefaced with a distinguishing alphabetical identifier: "U" for unclassified, "X" for classified, "W" for White House, "N" for NATO, WB for White House bulk, UB for unclassified bulk materials. For example, U12345-96 is an unclassified 1996 control number. The CCD uses an SD Form 14, "Secretary of Defense Routing Slip," to forward incoming Secretary and Deputy Secretary correspondence throughout the OSD Components. (See example at AP8. APPENDIX 8.) The SD Form 14:

C1.5.4.1.1.1 disseminates correspondence to action and information agencies,

C1.5.4.1.1.2. indicates the type of action required by the Action Agency and any required coordinator(s),

C1.5.4.1.1.3. provides any specific guidance on a particular case ("Remarks" section), and

C1.5.4.1.1.4. establishes an action due date.

C1.5.4.1.2. An Action Agency is provided a SD Form 391, "Secretary of Defense Correspondence Action Report," with each piece of action correspondence. (See AP8. APPENDIX 8 for an example.) This form should be used in accordance with procedures contained in this Instruction to:

C1.5.4.1.2.1. close out a case,
C1.5.4.1.2.2. cancel an action or request an extension,
C1.5.4.1.2.3. forward a copy of an interim reply to CCD,
C1.5.4.1.2.4. request to downgrade an assigned action, and
C1.5.4.1.2.5. provide information to the CCD for action
reassignment.

C1.5.4.1.3. When the contents of incoming correspondence involve more than one OSD Component, the CCD assigns primary responsibility to one office and requires appropriate coordination.

C1.5.4.1.4. Designated action offices may appeal the action assignment within 24 hours of the CCD time clock stamp by contacting the appropriate office in the CCD (see Paragraph C1.2.2. for telephone numbers). Such appeal must be made by an Executive Officer or Military Assistant to an Assistant Secretary of Defense (ASD), or higher level person. Mutually agreed action transfers may be made by returning the correspondence to the CCD under cover of an SD Form 391. The SD Form 391 shall show the name of the CCD person contacted. The original copy of the document must accompany the SD Form 391. It will be forwarded by the CCD to the new action office. (An example of an SD Form 391 is at AP8. APPENDIX 8.)

C1.5.4.1.5. Action assignments requiring change after the 24-hour period are the responsibility of the initial action office. Return the SD Form 391 to the CCD, annotated to reflect the name, office and telephone number of the accepting official with the original copy of the document. It will be forwarded by the CCD to the new action office with a new suspense, as appropriate.

C1.5.4.1.6. When agreement as to whom should take action cannot be reached, return the correspondence to the CCD within 24 hours with a covering SD Form 391, signed by the Executive Officer, or Military Assistant to an ASD, or higher level person, indicating offices contacted and a brief explanation of the reason for refusing the action.

C1.5.4.1.7. When an action assignment is for preparation of a reply for the signature of the Secretary or Deputy Secretary (PRS/PRD) and the action agency desires to change the type of action assigned, submit the SD Form 391 to the CCD

stating the reasons. Such reasons as "overtaken by events" and "reply not necessary" are unacceptable unless accompanied by a full explanation. The SD Form 391 requires the same signature authority as stated in C1.5.4.1.4., above. The CCD forwards these to the Executive Secretary for approval or disapproval and will then update the suspense system with the appropriate information.

C1.5.4.1.8. An Action Agency cannot downgrade an action assignment without approval. If a downgrade is considered appropriate, a SD Form 391 must be submitted with detailed justification to CCD, who will obtain Executive Secretary approval or disapproval, as appropriate. The SD Form 391 must be signed by the Action Agency's Executive Officer, Military Assistant or higher. An Action Agency may, however, upgrade an action without CCD or Executive Secretary approval.

C1.5.4.1.9. On occasion, an assigned tasking may be changed, usually upgraded from RD (Reply Direct) to PRS (Prepare Reply for Secretary) or PRD (Prepare Reply for Deputy Secretary), by specific direction of the Secretary, Deputy Secretary, their Military Assistants or the Executive Secretary. Do NOT change any upgraded action without checking with CCD and/or obtaining specific coordination or approval from the Executive Secretary.

C1.5.4.2. Suspense Requirements

C1.5.4.2.1. Suspense date. The CCD establishes a suspense date at the time of action assignment. The "clock" on the suspense date begins the first working day after the date and time stamped on the document by the CCD. Unless there is a built-in suspense requiring faster response or the case is recognized as one requiring extensive research or involvement, the suspense requirements for final replies are:

—24 hours for correspondence directly from the President or the White House Chief of Staff.

—Five workdays for replies to Cabinet Heads, Members of Congress, State Governors, and Senior White House Staff when action is "Prepare Reply SECDEF (PRS)/Prepare Reply DEPSECDEF (PRD)."

—Five workdays when action is "Comments and Recommendations (C&R)."

—Five workdays for Secretary of Defense Priority Action (SDPA) and DSD Priority Action (DSPA), unless directed

otherwise by the Military Assistants.

—Six workdays for replies to controlled White House referrals.

—Ten workdays for replies to Members of Congress when action is for "Reply Direct (RD)."

—Ten workdays for all others.

C1.5.4.2.2. SD Form 391. The SD Form 391 will be used to advise the CCD of any and all actions taken on a particular suspense case. Requests for extension should allow for a reasonable amount of time for the SD Form 391 to be forwarded through CCD to the Executive Secretary (when required) and returned to the Action Agency. Those SD Forms 391 that are received after the requested extension date has passed will be returned to the assigned Action Agency without action. A record of SD Forms 391 received and forwarded by CCD to the Executive Secretary will be reflected on the CCD weekly Report of Due and Overdue Correspondence in the "Status" column.

C1.5.4.2.3. Where the action assigned is Prepare Reply SECDEF (PRS), Prepare Reply DEPSECDEF (PRD), Answer SECDEF Note (ASN), Answer DEPSECDEF Note (ADN), Answer Military Assistant Note (AMN) or Comments and Recommendations (C&R) and action cannot be completed on time, the action office is expected to forward a completed SD Form 391 validated by the action office's Military Assistant, Executive Officer or higher level person. The SD Form 391 should include justification for the action being overdue and the expected date of completion (EDC). These types of actions will be forwarded by the CCD to the Executive Secretary for approval or disapproval. The Executive Secretary's decision will be forwarded back to the action agency. Completed SD Forms 391 for all other assigned actions require only signature of the action officer; i.e., For Appropriate Action (FAA), Reply Direct (RD), etc. (See AP4. APPENDIX 4 for explanation of suspense report codes.)

C1.5.4.2.4. If a suspense cannot be met, make an interim reply, in writing, within the suspense period. The signer of the interim reply should be the same person who will sign the final reply. If the final response is a PRS or PRD, the interim reply must be signed by the Secretary or Deputy Secretary (as appropriate) unless the Executive Secretary approves signature at a lower level. Any downgrade must be approved prior to sending the interim reply. Downgrading an interim reply

does not automatically downgrade the final response level; this must be approved separately by the Executive Secretary. Requests to downgrade interim replies should be forwarded through CCD to the Executive Secretary for approval via SD Form 391 with a copy of the proposed response attached. The interim reply should advise the originator of the information available, a reason for the delay, steps being taken to obtain the information requested, and the date by which a final reply may be expected. The final response will then be prepared for signature by the Secretary or Deputy Secretary. A copy of the interim reply should be forwarded to the CCD via SD Form 391 to ensure proper tracking of the case and to update suspense records. Unless a specific date is provided in the interim reply, CCD will automatically give the case a 30-day extension. Any extension required at the end of the 30-days or specified date must be requested as outlined in Paragraph C1.5.4.2.3, above.

C1.5.4.2.5. In those exceptional cases when an interim reply is made by telephone, furnish the CCD with an SD Form 391 containing the name and telephone number of the person contacted and a brief summary of the information provided.

C1.5.4.2.6. A signed and dated copy of interim and final replies to controlled correspondence shall be provided to the CCD.

C1.5.4.2.7. Correspondence responding to Members of Congress signed by OSD Component offices must coordinate with the ASD(LA). The OSD Component office must provide the ASD(LA) a copy of such correspondence.

C1.5.4.3. Suspense Reporting

C1.5.4.3.1. The CCD submits weekly reports to the Offices of the Secretary and Deputy Secretary that reflect the suspense status, due or overdue, of correspondence. The status reflected on these reports is accurate as of the "prepared date" reflected on the report. The reported status is based solely on the information provided to the CCD by the action office using the SD Form 391.

C1.5.4.3.2. On Monday of each week (Tuesday when Monday is a holiday), a machine printout of all suspense items, due or to become due within the next seven (7) days will be furnished to each action office. Action office updates to suspense cases should be forwarded to the CCD via SD Form 391 as they occur. Suspense cases are not closed when a signature package is forwarded to the Secretary or Deputy Secretary for signature. The case is closed once the response has been signed. The "Status" column on the Due and Overdue Correspondence Report will

reflect this information as well as current SD Form 391 actions.

C1.5.5. Classification Markings

C1.5.5.1. Classification markings, appropriate to the highest level of classification on a page, are required at the top and bottom of each page of a document containing classified information. The first page of a document must reflect the highest overall classification of the material on the top and bottom of the first page. The identification of the classifying authority, by position or source, and the declassification instruction are to be placed at the bottom left of the first page of the document. See C4. CHAPTER 4, FIGURE C4.F2, for an example, and C5. CHAPTER 5 for Secretary and Deputy Secretary classified signature items and memorandums to the President. The Secretary and Deputy Secretary are NOT normally classification authorities. The office preparing the classified material is the authority for newly created Defense information and/or identifying the source of any derivative classified information. See C4. CHAPTER 4, Paragraph C4.17. for additional guidance.

C1.5.5.2. The first page of an unclassified covering memorandum transmitting classified material should be marked at the top and bottom with the highest level of classified information being transmitted. The unclassified covering memorandum should then be marked, "Upon removal of attachments this document becomes (enter the classification level)" at the bottom right of the first page.

C1.5.5.3. The classification, or lack thereof, of the subject must be marked at the end of the subject line. See FIGURE C4.F2 for assistance. Individual paragraphs of classified documents must be marked at the beginning of each paragraph and sub-paragraph with abbreviated classifications; i.e., (TS), (S), (C), or (U). Each paragraph marking should be appropriate to the matter contained in that paragraph. For detailed instructions, consult DoD 5200.1-R (reference (b)).

C1.5.5.4. It is the responsibility of the drafter to ensure that appropriate classification markings are applied—title or subject, paragraph or portion, and overall classification. The signer, by virtue of his/her signature, assumes full responsibility for the classification markings.

C2. CHAPTER 2

DRAFTING GUIDANCE

C2.1. GENERAL

This Chapter provides guidance on the preparation of material for submission to the Secretary and Deputy Secretary. It also provides guidelines for the processing and control of these items. Figures in C3. CHAPTER 3, C4. CHAPTER 4, and C5. CHAPTER 5 provide examples and depict proper formats.

C2.2. STATIONERY

Use only "Secretary of Defense" letterhead paper and envelopes for material to be signed by the Secretary and "Deputy Secretary of Defense" letterhead paper and envelopes for material to be signed by the Deputy Secretary. Do NOT type action agency office titles or symbols on Secretary or Deputy Secretary envelopes or on Secretary or Deputy Secretary letterhead. Correspondence prepared for the signature of any other member of the OSD staff should be on "Office of the Secretary of Defense" letterhead paper or letterhead paper reflecting the specific title of the particular OSD Component concerned. All letterhead stationery is required to have a complete mailing address, to include a designated street address, as specified in the Correspondence and Directive (C&D) memorandum (reference (c)). Envelopes used by the OSD Components will contain the activity's complete return address. Contact your administrative office to obtain stamps for marking envelopes with authorized return address. Second and succeeding pages should be on plain bond paper.

C2.3. COVER MEMORANDUMS

C2.3.1. The terms "cover memorandum," "cover brief" and "executive summary" are interchangeable—all refer to a one-page cover document used to transmit material to the Secretary or Deputy Secretary for either their action (signature or decision) or information. Do not title the one-page cover memorandum with any such caveats—it is a waste of space. See C4. CHAPTER 4 and C5. CHAPTER 5 for additional guidance and examples of cover memorandums.

C2.3.2. Forward all items for signature by the Secretary and Deputy Secretary under cover of a one page ACTION MEMORANDUM recommending signature.

Briefly summarize in the memorandum any incoming correspondence and the proposed outgoing reply. Attach the proposed reply with appropriate signature tab(s), the original copy of the incoming correspondence and its enclosures, any referenced correspondence, and any other related correspondence such as recent letters from the same source. Properly prepared envelopes are the responsibility of the action office and must be included with the material to be mailed outside the Pentagon. (See C2. CHAPTER 2, Paragraph C2.10., for additional guidance.)

C2.4. RESPONSES ON BEHALF OF THE SECRETARY OR DEPUTY SECRETARY

C2.4.1. The following standard opening shall be used in correspondence responding to letters on behalf of the Secretary or Deputy Secretary: "This is in reply to your letter to Secretary (name) (or Deputy Secretary ((name))) ... regarding ..."

C2.4.2. The statement, "The Secretary (or Deputy Secretary) of Defense has asked that I respond to your letter," WILL NOT be used in the absence of specific instructions to that effect.

C2.5. REPLIES TO INCOMING LETTERS

Follow these general points on replies to incoming letters: (See C1. CHAPTER 1, Paragraph C1.5., for additional guidance.)

C2.5.1. Action for preparation of a reply for signature by the Secretary or Deputy Secretary that has been assigned by the CCD cannot be transferred to another office without the concurrence of the CCD.

C2.5.2. If a final reply is delayed beyond the suspense date, prepare an interim reply for the signature of the same individual who will sign the final reply.

C2.5.3. Replies to letters referred for Reply Direct shall be signed by a Presidential appointee, acting appointee, or the head of the major OSD Component. This does not refer to casework replies, such as bulk mail.

C2.5.4. For incoming letters that request the Secretary or Deputy Secretary's participation, include alternative replies unless specific guidance is given in the action assignment.

C2.6. DRAFTING LETTERS

C2.6.1. For Signature by the President or Vice President. All draft letters for signature of the President or Vice President should be submitted through the CCD to the Executive Secretary for Secretary approval before going to the White House.

C2.6.1.1. Start with a crisp sentence; keep all sentences short and uncomplicated. Remember, the opening sentence indicates your purpose.

C2.6.1.2. Avoid "I" as an opener and use the first person judiciously throughout.

C2.6.1.3. Superlatives need careful handling, but "superb example," "most rewarding," and "exceptional achievement" are acceptable when circumstances fit.

C2.6.1.4. State names shall be spelled out in all correspondence prepared for the signature of a First Family member.

C2.6.2. For Signature by the White House Staff. Use a formal style without being stilted or bureaucratic. An acceptable example would be—"The President has asked that I... "

C2.6.3. For Signature by the Secretary or Deputy Secretary

C2.6.3.1. Use a straight forward informal style of uncomplicated prose.

C2.6.3.2. Avoid stilted, convoluted, or bureaucratic drafting.

C2.6.3.3. Use "I" only to convey a personal touch.

C2.6.3.4. Use the text for the main concepts. Use an enclosure for the details.

C2.6.3.5. Avoid using contractions.

C2.6.3.6. Avoid referring to the date of the incoming correspondence; for example, use:

"Thank you for your recent letter regarding the ... "

C2.7. REPLIES TO CONGRESSIONAL MAIL

C2.7.1. Signature Authority. Replies to letters referred to the Military Departments, the Defense Agencies, or OSD offices for Reply Direct shall be signed by a Presidential appointee, acting appointee, or heads of the Service Legislative Affairs Liaison Offices. This restriction does not refer to casework replies, such as routine constituent-type inquiries.

C2.7.2. Date. Use the civilian date style in all OSD and WHS correspondence; i.e., month, day, year (January 1, 19XX).

C2.7.3. Salutation. Replies to Congressional representatives should be addressed to:

C2.7.3.1. "Dear Congressman or Congresswoman" when the writer was writing as a Congressman or Congresswoman.

C2.7.3.2. "Dear Senator" when the writer was writing as a Senator.

C2.7.3.3. "Dear Mr. Chairman or Chairwoman" when the writer was writing in his/her position as a Chairperson. Normally, the writer's signature block or letterhead will indicate from which position he/she was writing. When in doubt, the salutation should reflect their appropriate Congressional form of address.

C2.7.3.4. Use only formal salutations on correspondence signed by the Secretary and Deputy Secretary. Salutations used by other OSD Components may be either formal or informal except as noted below. Specific exceptions are published periodically by the Executive Secretary. However, any questions may be addressed to C&D, Room 3B946, telephone 697-8261.

C2.7.3.5. The formal salutation for Members of Congress shall always be used on letters for signature by other than the Secretary or Deputy Secretary, even when the incoming letter is signed informally. A complete list of formal salutations can be found in AP5. APPENDIX 5.

C2.7.3.6. See C5. CHAPTER 5 and AP5. APPENDIX 5 for guidance on appropriate forms of address.

C2.7.4. Opening

C2.7.4.1. Avoid referring to the specific subject of a Member of Congress letter. Refer to the request by general subject only. Refer to a Member of Congress buck slip as an inquiry.

C2.7.4.2. When two or three Members of Congress inquire on behalf of the same constituent, add in the opening or closing paragraph of each reply:

"Senators Jones and Smith have also inquired on behalf of Mr. King and I am sending them similar replies."

C2.7.4.3. When more than three Members of Congress inquire, add:

"Several other Members of Congress have..."

C2.7.4.4. When a constituent's letter is enclosed, refer to the constituent's letter or inquiry in the first paragraph of the reply. Avoid reference to the date of the constituent's letter. The following are acceptable openings:

"Thank you for giving us the opportunity to comment on Mr. Jones' views about..."

"I have received your recent inquiry regarding Mr. Harry Smith's views about ..."

"I am pleased to reply to your recent communication requesting information on behalf of Mr. Jones regarding"

C2.7.4.5. Without a constituent's letter:

"Thank you for your recent letter requesting (regarding) (commenting on)..."

C2.7.4.6. Criticism and commendations

C2.7.4.6.1. When a Member of Congress is critical of a DoD policy, avoid opening with "Thank you." In such a case it is better to use:

"I am pleased to reply to your recent letter in which you expressed concern over" or "I appreciate your bringing to my attention your concern over ..."

C2.7.4.6.2. In the case of a commendation, use:

"We deeply appreciated receiving your recent letter regarding ..." or "Thank you for ..."

C2.7.4.7. Avoid references to journalists and publications by name.

Instead say:

"... a recent newspaper article concerning ..."

C2.7.4.8. Referrals from the White House. When a Congressman's letter to the White House is forwarded to the Department of Defense (DoD) for Reply Direct, use:

"Thank you for your letter of (date) to President (name) ... regarding ..."

C2.7.4.9. Replies by other than the addressee. When it has been determined that a response should be signed by other than the addressee, use:

"This is in reply to your recent letter to (name) regarding..."

C2.7.4.10. Letters from Congressional staff members

C2.7.4.10.1. If a letter is received from a Congressional staff member, address the reply to the Member of Congress or the chairman of the committee and mark the envelope to the attention of the staff member.

C2.7.4.10.2. When asked for in the incoming request or when it is known that a particular person in the Congressman's office is interested in, has called about, or has signed the request for the Congressman, mark the envelope for that person's attention.

C2.7.4.11. Follow-up Replies

C2.7.4.11.1 When following-up an interim reply with favorable information to report, start the reply:

"You will recall that on ... I wrote you about ... I am happy (pleased) to report that ..."

C2.7.4.11.2. If the report is unfavorable, start with something like:

"You will recall that on ... I wrote you about ... I regret to report that ..."

C2.7.5. Body

C2.7.5.1. Clarity

C2.7.5.1.1. Keep in mind that the reply will often be forwarded to a constituent, may appear in the press, or may be printed in the Congressional Record.

C2.7.5.1.2. Identify the audience and use appropriate language in communicating with it. For example, language intended for a university professor should differ from that directed to a grammar school student.

C2.7.5.1.3. Bear in mind that the constituent may not have extensive knowledge of the subject matter, so the reply should be designed to add to the constituent's understanding of the problem and gain support for DoD's position. Be as forthcoming as possible in explaining DoD policy.

C2.7.5.2. Responsiveness. Make the answer fully responsive. Do not misinterpret or rephrase a question to make it easier to answer.

C2.7.5.3. Tone. By its tone, the letter should carry an implicit recognition of the position and role of a Senator or Representative in the U.S. Government. Any and all replies should be courteous and respectful.

C2.7.5.4. Style

C2.7.5.4.1. Avoid the passive verb form, long and complicated sentences, and the use of a group of words when one will do. Make your replies clear and readable. Avoid the use of stereotyped phrases.

C2.7.5.4.2. Avoid bureaucratic language, especially "in-house" jargon and overly technical terms.

C2.7.5.4.3. Avoid acronyms. However, when their use is necessary, spell the word or words out the first time they are used, show the acronym in parentheses, and use the acronym thereafter. Examples: Ballistic Missile Defense Organization (BMDO); North Atlantic Treaty Organization (NATO).

C2.7.5.4.4. Never assume that the average constituent has knowledge of, or access to, copies of laws. When referring to sections of a law, include a brief explanation of the section mentioned.

C2.7.5.4.5. Refer to a person as an "applicant," a "citizen" or a "constituent," not as a "subject" or an "individual."

C2.7.5.5. Length. A short responsive letter is preferable to a long one since it can be prepared and dispatched more promptly.

C2.7.6. Closing. It is important that all letters have a courteous closing consistent with the nature of the reply. Do not say "We are glad to have been of help," if we have not been helpful.

C2.7.6.1. If we only give information in the reply, use:

"I hope this information will be helpful to you in replying to your constituent (or Mr. ...)."

C2.7.6.2. If we have been of help in assisting the Congressman or his constituent in a problem, use:

"I hope this will be helpful to you in replying to ..."

Or, in replying to the chairman of a committee or subcommittee, use:

"I hope this will be helpful to you and the members of your committee (subcommittee)."

Note: Do not always use the closing sentences suggested above. For instance, in an interim reply close with something similar to "... and I will write you again as soon as ..."

C2.7.6.3. When action or a decision is negative, use a closing similar to:

"I sincerely regret our reply cannot be (more) favorable (encouraging)."

Note: Vary the above wording depending upon the content of the reply. If some other ending is appropriate, do not hesitate to use it, but be sure that it is friendly, graceful, and conveys to both the

Member of Congress and the constituent the fact that we took the request seriously and made an effort to obtain the requested information. The closing line should not be curt.

C2.8. MEMORANDUMS

The memorandum is the primary vehicle for internal written communication within the DoD. It is used for correspondence to the President and the White House staff, for informal correspondence, and for transmittal of routine material to other Federal Agencies. Memorandums should be as concise as possible. Detailed and complex information should be appended in the form of attachments. There are two types of memorandums—ACTION and INFORMATION.

C2.8.1. There are three basic types of ACTION MEMORANDUMS. They all involve either a request for signature or approval by an OSD principal.

C2.8.1.1. Substantive (decision on a policy issue).

C2.8.1.2. Appointment requests and social events (for an office call, luncheon, etc.).

C2.8.1.3. Signature items (letters, cables, memorandums, etc.).

C2.8.2. Similarly, there are three basic types of INFORMATION MEMORANDUMS. These are used to provide factual data not requiring signature or action.

C2.8.2.1. Information (for background information only).

C2.8.2.2. Briefing for office appointments and meetings.

C2.8.2.3. Briefing for social, ceremonial, or public occasions.

C2.8.3. Style. Use a lucid and concise writing style. Concentrate on clear presentation of the facts in all memorandums.

C2.8.3.1. In presenting the facts, provide sufficient support, logically organized, as a sound basis for your reasoning.

C2.8.3.2. Use an informal style, with crisp sentences, clarity, and precision

as the goal. Omit verbosity, ponderous prose, and unnecessary adjectives and clauses. Avoid repetitive use of titles and identification.

C2.8.4. Format

C2.8.4.1. Make every effort to limit memorandums to one page. A one-page cover memorandum summarizing a memorandum exceeding two pages is mandatory. The summary should indicate what the paper contains and what is requested of the addressee.

C2.8.4.2. Make liberal use of the following to avoid the "opaque" look of a full page of type:

C2.8.4.2.1. Paragraphing, with subheads.

C2.8.4.2.2. Generous margins.

C2.8.4.2.3. Selective underlining for emphasis.

C2.8.4.2.4. "Ticks" (double dashes).

C2.9. DRAFTING BRIEFING BOOKS

The Secretary and Deputy Secretary conduct business daily from briefing books. To ensure they have sufficient time to prepare for the meetings, seven copies of briefing books should be submitted directly to the Office of the Executive Secretary at 1600 hours, one (1) working day before the scheduled event.

C2.10. DRAFTING ACTION MEMORANDUMS

See C4. CHAPTER 4 and C5. CHAPTER 5, and AP1. APPENDIX 1 for additional information and format examples.

C2.10.1. Substantive Memorandums. Substantive memorandums must contain careful analysis of the issue, covering both the rationale and the implications of various options you are presenting as reasonable alternatives.

C2.10.1.1. The format for a substantive memorandum normally consists of five parts, designated as subheads:

- The Problem or Issue.
- Background Analysis.
- Options (including advantages and disadvantages of each).
- Agency views.
- Recommendations.

C2.10.1.2. Include in the memorandum some or all of the five parts as stated in C2.10.1.1., above.

C2.10.1.2.1. A succinct statement of the Problem or Issue under consideration (one or two sentences preferably). Urgent issues, or those requiring immediate action, must be flagged in this section. When the memorandum exceeds two pages, a Summary is required and the statement of the problem may be combined with it.

C2.10.1.2.2. A brief recital of the important Background, which provides a framework for analysis of the specific problem.

C2.10.1.2.3. An Analysis flowing from the background statement, taking into account political, military, economic, security and other appropriate relationships.

C2.10.1.2.4. A concise outline of each Option in a few sentences or short paragraphs. The presentation of options should flow naturally from the analysis, should assess the potential consequence of adopting the discussed options, and should appraise the degree to which those consequences affect other situations. Argument and further analysis, presented under each option in terms of the specific advantages and disadvantages of each. Alternatively, depending on the subject, the options could be set out and then collectively discussed in terms of their advantages and disadvantages.

C2.10.1.2.5. Use your judgment in deciding upon the division of analysis between opening discussion and the separate listing of options. Decide on the best presentation method in light of the subject. The complexity and length of discussion will obviously bear on the organization of the paper. Be logical; avoid repetition.

C2.10.1.2.6. Agency views, stated briefly as a wrap-up following the

options section. All coordinating offices should be mentioned in this section.

C2.10.1.2.7. Carefully framed Recommendations to conclude the paper should be presented in a manner consistent with the options discussed in the paper. Approved/Disapproved should normally be used. Recommendations should be briefly annotated or explained as necessary; for example:

"RECOMMENDATION: That you approve the negotiating the instructions outlined above for the U.S. Delegation on the Philippines meeting scheduled for the last two weeks of August.

APPROVED: _____ DISAPPROVED: _____

AS AMENDED: _____

_____ Wish to discuss with head of the delegation and ASD(ISP) before deciding."

C2.10.1.2.8. Alternative Recommendations should be clearly labeled as such, followed by decision lines as reflected in C2.10.1.2.7., above.

C2.10.1.2.9. Talking points should be attached whenever the recommendation is for the Secretary or Deputy Secretary to telephone someone to discuss a substantive issue.

C2.10.1.3. The format for approval or disapproval of a recommendation(s) may vary depending on the complexity of the subject. The approval and disapproval lines may fall within the text of the memorandum or they may be after the signer's signature block in simple cases.

C2.10.2. Appointment Requests, Telephone Calls and Social Events. Appendix 6 provides formats and guidance for Secretary and Deputy Secretary of Defense appointment requests. (See Paragraph C2.11.2. and C2.11.3., below, for additional guidance.)

C2.10.2.1. Use an ACTION MEMORANDUM to recommend that the Secretary or Deputy Secretary receive a representative of a foreign government in Washington. The main objective of such memorandums is to persuade the Secretary

or Deputy Secretary that some useful purpose can be served in agreeing to the appointment or event in question. Avoid going into substance beyond indicating probable topics and the desirability or necessity of discussing them. If approved, an INFORMATION MEMORANDUM describing the participants and all probable areas of discussion and suggested talking points will be required prior to the event.

C2.10.2.2. ACTION MEMORANDUMS on appointments or social functions should cover all the basic questions of who, why, what, when, and where: (See Paragraph C2.11.2. and C2.11.3., below, for additional guidance.)

C2.10.2.2.1. Who. State clearly: appointment requested by XYZ; luncheon for visiting Defense Minister (Name). For all memorandums recommending the Secretary or Deputy Secretary host a function, attach a suggested guest list with alternatives in each category, and attach biographic sketches for proposed callers.

C2.10.2.2.2. Why. Indicate why the appointment is required and why the Secretary or Deputy Secretary should see him or her.

C2.10.2.2.3. What. Be specific; for example, a meeting, informal stag dinner, small working luncheon, breakfast, etc. Distinguish between participation and simple attendance; whether he or she is to be the host or hostess or an attendee.

C2.10.2.2.4. When. Show the time and date of the proposed event. If a tentative time has been set, indicate in the memorandum whether other convenient alternative times are available. Discuss the length of the visit. If necessary, provide alternatives.

C2.10.2.2.5. Where. State the location of the event in the recommendation.

C2.10.2.2.6. Include a Brief Summary of the foreign visitor's U.S. and Washington itinerary and a mention of pending calls on other officials.

C2.10.2.3. ACTION MEMORANDUMS for telephone calls should cover applicable basic questions from Paragraph C2.10.2.2. above, plus a brief paragraph on the background of the issue involved, an indication of DoD officials who concur or nonconcur (when appropriate) and talking points on the subject of the call in bullet form.

C2.10.3. Signature Items. Use one-page ACTION MEMORANDUMS to

forward letters and memorandums for signature by the Secretary and Deputy Secretary.

C2.10.3.1. ACTION MEMORANDUMS should be used to cover outgoing cables (electronically transmitted correspondence). Letter cables should contain the correct salutation and complimentary close; for example, a memorandum covering a cable containing a letter from the Secretary to a foreign official for delivery by the Chief of Mission. The indicator "FM SECDEF WASH DC" is used only on outgoing messages that are actually from the Secretary or Deputy Secretary. Messages with the indicator "FM SECDEF WASH DC" may only be released by the Secretary, Deputy Secretary, Senior Military Assistant to the Secretary or the DoD Executive Secretary. Messages from the Secretary and Deputy Secretary must be prepared on diskettes using SARAH-Lite software. The diskette, a diskette release form, and a paper copy of the message must be included in the signature package. To obtain the SARAH-Lite software or for additional assistance in cable preparation, contact the C&D Cables Division, 703-695-8151.

C2.10.3.2. The covering memorandum should:

C2.10.3.2.1. State clearly the writer, his or her position, when appropriate, and the subject: letter from John Doe on nuclear freeze.

C2.10.3.2.2. Indicate when the letter came in and what it said. For long letters (or attachments to a letter such as articles or speeches), a summary should be appended to the memorandum, but the covering memorandum should contain the substance of the letter.

C2.10.3.2.3. If a reply is delayed, state why there is a delay.

C2.10.3.2.4. Outline basic elements of the response you seek to have signed.

C2.10.3.2.5. Ask that the correspondence be signed at the designated tab in the recommendation. All ACTION MEMORANDUMS addressed to the Secretary, Deputy Secretary and Executive Secretary should include "Approval," "Disapproval," and "Other" elements at the bottom of the page. See examples in C5. CHAPTER 5.

C2.10.3.2.6. If alternative responses are proposed, recommend that the principal sign at Tab ____ if he wishes to do such and such, at Tab ____ if he wants to pursue another line of action, and at Tab ____ if he prefers yet another.

C2.11. DRAFTING INFORMATION MEMORANDUMS

See C4. CHAPTER 4 and C5. CHAPTER 5, and AP1. APPENDIX 1 for additional guidance and format examples.

C2.11.1. Information Memorandums

C2.11.1.1. Use INFORMATION MEMORANDUMS to convey information on important developments not requiring action at that time. These are often prepared in response to a specific request by the Secretary or Deputy Secretary. It is particularly useful to have brief status reports on fast-breaking developments such as coups and disasters.

C2.11.1.2. These memorandums should be brief and concise, preferably not more than a page or two. If a paper exceeds two pages, lead in with a summary. An information memorandum for the Secretary and Deputy Secretary of more than two pages requires a one page summary indicating additional information is provided at a Tab(s). The summary should be a road map of what the paper contains. Include some or all of the following:

C2.11.1.2.1. A summary statement of the situation. Concentrate on new developments; minimize the history and background.

C2.11.1.2.2. An indication, unless it is obvious, of U.S. interests in the matter.

C2.11.1.2.3. Interpretive comment, including probable future development and the extent to which U.S. interests might be affected (particularly in memorandums reporting sudden changes in governments).

C2.11.1.2.4. An indication that further memorandums, information or action, will be prepared if needed.

C2.11.2. Office Appointments. See AP6. APPENDIX 6 for Secretary and Deputy Secretary of Defense appointment request format.

C2.11.2.1. INFORMATION MEMORANDUMS are required for office calls by persons outside the Department. These memorandums must include substantive talking points and, as necessary, substantive background, particularly on

the state of bilateral relations.

C2.11.2.2. Briefing material for an office call consists of one information memorandum with two distinct parts:

C2.11.2.2.1. The Checklist is an important element of briefing material for meetings. It is the first page of the information memorandum that covers the substantive sections. The checklist can be used by the principal to focus his attention on current issues. It must not exceed one page and should be the only item on that page. Include the following in the checklist:

C2.11.2.2.1.1. Name of the caller in the subject line.

C2.11.2.2.1.2. Date, time and place of the meeting to include building name and room number.

C2.11.2.2.1.3. A list of the participants, categorized as appropriate, usually U.S. and foreign; names (including phonetic spelling of the foreign caller's name—with accented syllable in caps); short titles (including form of address for the caller); a note taker, identified as such; and an interpreter if required.

C2.11.2.2.1.4. A list of reminders on three or four major points for discussion.

C2.11.2.2.1.5. An indication of press or media arrangements, if any. For example, photographers will be present for 2-3 minutes at the beginning of the meeting.

C2.11.2.2.1.6. A paragraph describing the "setting" of the meeting in the fewest possible words covering the main point(s) to be made about the three or four most important bilateral and other issues to be raised.

C2.11.2.2.2. The Substantive Paper. The substantive portion of the information memorandum should begin on page two and should be organized to include the following:

C2.11.2.2.2.1. A concise opening Setting section, explaining the reason for the meeting, presenting both sides' reasons for the meeting, overall objectives, and an assessment of what we can expect to obtain from it.

C2.11.2.2.2.2. A Background or Analysis section briefly analyzing

the events and circumstances that have brought both parties to the point from which discussion at this meeting should commence. Note also any subjects to be avoided. Include information on the Secretary's or other principal's last contact with the official(s) in question.

C2.11.2.2.2.3. A Courtesy Points section (preceding the substantive Issues and Talking Points section). Include courtesy points only when they would make a significant contribution to the atmosphere of the meeting or when failure to make a specific point would be noticed. Like substantive talking points, they should be "talkable;" conducive to verbatim delivery.

C2.11.2.2.2.4. An Issues and Talking Points section with specifically labeled subheads for each issue reviewed; for example, NATO, MBFR, SALT. When any of the talking points are for contingency use or if a caller raised the issue, this fact should be noted parenthetically. If desirable, combine minor talking points into an "other" subhead which should conclude the talking points section. Each issue subhead may be followed by a brief background statement or exposition of the Secretary and that of the other party; this background is optional. Avoid restating information already provided in the Background or Analysis section or the talking points themselves. Talking points should be no longer than two to three lines, underlined where appropriate, paragraphed, and set off by ticks (double dashes). The talking points must be "talkable;" conducive to verbatim delivery as drafted. Use "I" and "We." Avoid beginning points with phrases such as "You should tell X that"

C2.11.2.2.3. Attachments. Attach the following to the substantive information memorandum when appropriate:

C2.11.2.2.3.1. Biographical sketches. While they are not necessary for individuals well known to the Secretary or Deputy Secretary, err on the side of including them. They should contain phonetic spellings and forms of address and be current.

C2.11.2.2.3.2. Participants list. Include full name, rank, title and organization, as appropriate.

C2.11.2.2.3.3. Recent correspondence, memorandums of conversations, or significant memorandums or cables directly related to the subject of the meeting or summaries of them.

C2.11.2.2.3.4. Schedule of activities in Washington (or in the U.S. in the case of foreign visitors).

C2.11.3. Social, Ceremonial, and Public Events

C2.11.3.1. Brief scenarios (event papers) are required for participation in social, ceremonial, or public events. They are intended to inform the Secretary or Deputy Secretary of his or her role in the specific function.

C2.11.3.2. The text of event papers should include:

C2.11.3.2.1. A subject line including the name, date, time and place of the event.

C2.11.3.2.2. Participants, categorized as appropriate; for example, U.S. and foreign. Include phonetic spelling of leader's name, with accent syllable in CAPS; short titles (including form of address for caller); a note-taker, identified as such; and an interpreter, if required. For large groups, include a list of participants as a tab, but identify prominent persons in the text of the memorandum.

C2.11.3.2.3. Notes on press arrangements, picture sessions, media representation, etc.

C2.11.3.2.4. A scenario in two or three paragraphs that indicates by whom, when and where the Secretary or Deputy Secretary will be picked up and escorted to the event, or by whom and when the visitor will be escorted to the Secretary or Deputy Secretary's office. (Note the Secretary or Deputy Secretary should meet the visitor at the River Entrance if he or she has agreed to do so.) For events away from the office, the ranking official participating should plan to escort the Secretary or Deputy Secretary and should be prepared to explain arrangements and call attention to late developments. The scenario should also state whether toasts or public statements are required.

C2.11.3.2.5. A note that biographical information is attached. While biographical sketches are not necessary for persons well known to the Secretary or Deputy Secretary, err on the side of including them.

C2.11.3.3. Attach the following as necessary:

C2.11.3.3.1. A guest list (coordinate with the Executive Secretary).

C2.11.3.3.2. A seating chart (Protocol Office will assist).

C2.11.3.3.3. A draft speech or theme for remarks.

C2.11.3.3.4. Diagrams on complicated physical layouts or movements.

C2.11.3.3.5. Supplementary background on the occasion.

C2.11.3.3.6. The original of the ACTION MEMORANDUM, when available, in which the Secretary or Deputy Secretary agreed to take part, particularly when there has been a considerable time lag between acceptance and the event itself.

C2.12. DRAFTING MEMORANDUMS ADDRESSED TO THE WHITE HOUSE

C2.12.1. Types of Memorandums. The basic types of memorandums for the White House are:

C2.12.1.1. Informational memorandums for the President that convey policy matters requiring the President's personal attention.

C2.12.1.2. Memorandums for the Assistant to the President for National Security Affairs.

C2.12.1.3. Memorandums forwarding proposed draft replies to correspondence referred to the DoD for action by the White House staff and copies of DoD provided replies to White House taskers.

C2.12.2. Memorandums for the President. Memorandums for the President should be prepared in the basic memorandum format. They normally will be signed by the Secretary; therefore use Secretary of Defense letterhead. Do NOT indicate action or information memorandum after the subject line. Do NOT justify right margins. See C5. CHAPTER 5, FIGURE C5.F1, for a format example.

C2.12.2.1. Memorandums for the President should be as brief as possible, preferably one page. They should reflect the best the Department has to offer in drafting skills. Conciseness, clarity, and relevance are the measures of this memorandum's usefulness. Avoid condescending detail, clichés, and ambiguity.

C2.12.2.2. A carefully drafted first paragraph sets the tone for all that follows. Get to the point at the outset and stay with it. State the problem quickly

and concisely. Follow with essential, relevant background.

C2.12.2.3. Forward memorandums for the President under cover of an ACTION MEMORANDUM to the Secretary. Avoid duplicating the information in the memorandum to the President in the cover memorandum to the Secretary. Memorandums to the President are considered privileged information and, as such, signed copies WILL NOT be provided outside the CCD. A copy of the approved cover memorandum will, however, be provided to the originating office.

C2.12.3. Presidential Briefing Memorandums

C2.12.3.1. Information memorandums for the Secretary and Deputy Secretary are normally required to brief the President for calls by visiting Ministers of Defense. They are also used for some trips abroad. Submit the proposed memorandum under a covering ACTION MEMORANDUM addressed to the signer.

C2.12.3.2. The Memorandum for the President should be a comprehensive document which includes all background, analyses, and talking points needed by the President for the meeting. It may cover a briefing book with additional contingency issues and talking points, background studies, schedules, biographical sketches, and other papers related to the event. As with any recommended format, it is a flexible guide which, on occasion, may be modified to conform to different circumstances.

C2.12.3.3. Memorandums for the President contain the following elements:

C2.12.3.3.1. Purpose section of no more than one paragraph introducing the memorandum and setting the stage for the meeting or event. It provides the President with a brief overview of what the we and the visitor want from the meeting. Be direct, candid and set points off with subparagraphs.

C2.12.3.3.2. Background section which includes both sides' positions on principle issues, divided by subhead categories. Only include background information which is relevant to the meeting.

C2.12.3.3.3. Strategy section (optional) to explain our approach for obtaining the results we want. Omit this section if it simply repeats information or positions covered under "purpose" or "background," or when there is no definable strategy.

C2.12.3.3.4. Talking Points section, with points set off by paragraphed subheads for each topic we want to raise or expect the other side to raise. Include

talking points only (no background), limited to three lines for each point, introduced by ticks (double dashes), and drafted for verbatim delivery.

C2.12.3.4. Pay particular attention to the appearance of the paper. Use short paragraphs, ticks (double dashes), and selective underlining for emphasis.

C2.12.4. Memorandums for the Assistant to the President for National Security Affairs

C2.12.4.1. These memorandums constitute the majority of written communications to the White House. The four basic types of memorandums so addressed are:

C2.12.4.1.1. Matters of policy that should be prepared for signature of the Secretary or Deputy Secretary.

C2.12.4.1.2. Matters pertaining to Senior Interagency Group, or other committees, which should be prepared for the signature of the Secretary or Deputy Secretary.

C2.12.4.1.3. Notification of military exercises, which should be prepared for the signature of the Executive Secretary.

C2.12.4.1.4. Requests for approval for foreign travel by Assistant Secretaries and above, Secretaries of the Military Services, Service Chiefs and Vice Chiefs, and Directors of Defense Agencies (See AP6. APPENDIX 6 for formats.) (Note: Travel requests by Directors of Defense Agencies do not go to the NSC but do require the Deputy Secretary's approval.)

C2.12.4.2. When the memorandum is in response to a National Security Council (NSC) or White House request, include reference to that request in the first line of the body of the text.

C2.12.5. Replies and Draft Replies to White House Referrals

C2.12.5.1. Instructions regarding preparation of draft replies for White House signature, and direct replies of which the White House has requested copies, are furnished by the CCD, White House Liaison Office (703-695-6151), in each individual instance.

C2.12.5.2. Action on all controlled (not bulk, i.e., private citizen mail)

White House referrals is to be completed within six (6) working days of receipt. The "clock" on the suspense date begins one day after the date and time stamped on the document by the CCD, White House Liaison Office.

C2.12.5.2.1. Draft Replies. In the case of a draft reply, a preprinted memorandum addressed to the Executive Secretary is furnished with instructions shown on the accompanying SD Form 14, Secretary of Defense Routing Slip. Any comments providing additional information regarding the case should be typed on the preprinted memorandum which should then be signed by an authorized official. Personnel authorized to sign controlled White House cases are limited to flag officers or General Service and Senior Executive Service equivalents of the OSD, WHS, Defense Agencies, and Military Departments.

C2.12.5.2.2. Copies of Direct Replies. When a copy of a Reply Direct is requested by the White House staff, two copies shall be provided to the White House Liaison Office, CCD; one for the White House and one for the CCD files.

C2.12.5.2.3. Coordination. Coordinate with the DoD Executive Secretary whenever a copy of a direct response is requested by the White House staff.

C2.12.5.2.4. Bulk Referrals. Action Agencies shall reply to bulk referrals within ten (10) working days. A copy of the response to a bulk referral is required by CCD along with the original incoming document. Action Agencies are required to maintain a file copy of each action. Note: copy requirements change based on the incumbent Administration. The CCD tasking document will normally reflect the current copy requirements. Call the CCD White House Liaison Office (703-695-6151) if you have specific questions.

C3. CHAPTER 3

LETTERS

C3.1. USE

Letters are used for correspondence with addressees outside the U.S. Government and for formal correspondence with officials of other Federal Agencies. FIGURE C3.F1 provides an example of a properly prepared letter. FIGURE C3.F2 provides a format outline.

C3.2. STATIONERY

Use appropriate letterhead stationery for the first page of a letter. Type the second and succeeding pages on plain bond paper. Envelopes are the responsibility of the action office. Use envelopes with the same return address as reflected on the letterhead. Additional guidance regarding stationery and envelope authorization and usage may be found in the C&D Memorandum (reference (c)).

C3.3. COPIES

An official file copy should be made for any letter requiring retention as a permanent record. Official file, courtesy, comeback, and other copies may be made from the original using reproduction equipment. Annotate the official file copy with information required in Paragraph C3.17., below. Courtesy copies should be prepared only for those offices who need them. Normally this means providing a copy to all coordinators.

C3.4. MARGINS

Allow at least one (1) inch for the left, right margins, and bottom margins. Side margins may be increased to two (2) inches for letters of not more than ten (10) lines. Use large type in preparing Secretary and Deputy Secretary correspondence. Appropriate type sizes are: Microsoft 6.0 - Times New Roman 12 Font, or Courier New 12 Font.

C3.5. DATE

C3.5.1. Omission of Date at Time of Typing. Omit the date on a letter that will be signed in another office or that may not be signed on the day it is typed. The appropriate date will be added by the office in which the letter is signed or dispatched, as appropriate. The CCD will date, dispatch and provide copies to the originating and coordinating offices for all Secretary and Deputy Secretary signed or approved correspondence.

C3.5.2. Inclusion. When the date of signing is known, type the date two lines below the last line in the letterhead or two lines below the Department seal, as appropriate, beginning 1-1/2 inches from the right margin, in month, day, year order. Type the name of the month in full. Show the day and the year in numerals. In showing the day, omit endings such as "st" or "th" and use the civilian date style. Example: January 1, 19XX.

C3.6. REFERENCES

Do not list references separately in letter formats. References should be included in the text of the letter

C3.7. SPECIAL MAILING INSTRUCTIONS

Instructions for mailing, such as SPECIAL DELIVERY, CERTIFIED, or REGISTERED, are not normally noted on the face of the letter. In those cases where it is considered necessary, type or stamp the special mailing instruction at the left margin, twelve (12) lines from the top of the page. When more than one notation is used, arrange them continuously on a single line, separating them with dashes. Example: REGISTERED - SPECIAL DELIVERY.

C3.8. ADDRESS

C3.8.1. Format. Type the address at the left margin, fourteen (14) lines from the top of the page. Single space the address and arrange it in block style. When preparing a letter to be used in a window envelope, be sure that no information, other than the address, appears in the window area. United States Postal Service (USPS) automated equipment has the capability to scan and read the last two lines of an address element in the window area; i.e., street and city, state, and ZIP+4.

C3.8.2. ZIP Code. ZIP+4 Codes are required on all addresses and assist in the expeditious handling and processing of the mail by the USPS. ZIP+4 Codes should follow two spaces after the two-letter State identifier.

C3.8.3. State Names. When used with the ZIP Code, the state name may be spelled out or abbreviated in the normal manner—for example "Mass.", "Tenn.", or it may be abbreviated by the two capital letters authorized by the U.S. Postal Service, "MA" or "TN" respectively. (See AP2. APPENDIX 2 for a complete list of abbreviations.) Omit punctuation when using the two-letter abbreviation. Do not use the two-letter abbreviation in the body of a letter.

C3.8.4. Envelope Address. All characters in the mailing address will be typed or machine printed in UPPER CASE letters. Addresses will be formatted with a uniform left margin. Hand printing and rubber stamps will NOT be authorized. The standard two-letter state abbreviation as listed in AP2. APPENDIX 2 should be used.

C3.9. ATTENTION LINE

Avoid an attention line. When it is required, type "Attention:" on any line of the address above the street or box number. The salutation should be directed to the addressee of the letter, not to the person named in the attention line. Example:

Raleigh Clothing Company
Attention: Ms. B. C. Whitehead
23 Wood Haven Drive
Palm Coast, FL 32164-1000

Gentlemen:

C3.10. SALUTATION

Place the salutation line two (2) lines below the last line of the address. Type the salutation followed by a colon for formal salutations and by a comma for familiar or informal salutations. Use only formal salutations on correspondence to be signed by the Secretary or Deputy Secretary and on correspondence to Members of Congress. (See C5. CHAPTER 5, Paragraph C5.8., and AP5. APPENDIX 5 for the proper forms of formal and informal salutations.) (See C2. CHAPTER 2, Paragraph C2.7.3. for Congressional salutations.)

C3.11. BODY OF LETTER

C3.11.1. Spacing. Begin the body of a letter on the second line below the salutation. Indent each paragraph five (5) spaces from the left margin. Single space the body of a letter; double space between paragraphs. Double space between lines in letters of one paragraph when they consist of eight lines or less. Single space any letter with two paragraphs regardless of length. Do not justify right margins. (See FIGURE C3.F1 for additional guidance.)

C3.11.2. Paragraphing. When there is reason to break the paragraphs into subparagraphs, the units may be indented and also numbered and lettered. Avoid beginning a paragraph near the end of a page unless there is room for at least two lines on that page. Similarly, avoid carrying a paragraph over to the next page unless at least two lines can be carried over. Do not use one sentence paragraphs in letters.

C3.11.3. Quotes

C3.11.3.1. Short Quotations. A quotation of less than two lines is run into the text. Quotation marks, both double and single, are used as shown in the following sentence. The regulation clearly states "...ambiguous references such as 'herein,' 'above,' 'below,' and the like shall not be used."

C3.11.3.2. Long Quotations. A quotation of more than two lines is blocked five spaces from the left and right margins of the text. Quotation marks are usually omitted when the blocked and indented format is used.

C3.12. SUCCEEDING PAGES

Type the second and succeeding pages on plain paper. Type the succeeding page number(s) four (4) lines from the top of the page at the right margin, allowing a side margin of one (1) inch. Continue the text four (4) lines below the page number line. An alternative is to number the second and succeeding pages at the bottom center of the page allowing at least two spaces below the last line of text and a one-inch margin at the bottom of the page margin.

C3.13. COMPLIMENTARY CLOSE

Type the complimentary close, followed by a comma, two (2) lines below the last paragraph, beginning approximately in the center of the page. Except as specified in AP5. APPENDIX 5, use the standard closing "Sincerely,".

C3.14. SIGNATURE AND TITLE

C3.14.1. Omit the signature block on all correspondence prepared for signature of the Secretary. Type the Deputy Secretary's name on correspondence prepared for his or her signature. (See C5. CHAPTER 5 for guidance.)

C3.14.2. When it is known who will sign the letter, type the name of the signer at least four lines below and flush with the complimentary close. Type the signer's title on the next line, flush with the name. (Note: The title of the person signing is not necessary if it is the same as the letterhead.) If a run-over line occurs, indent the next line two spaces. It is permissible to stamp, instead of type, the name and title below the written signature. If the name is stamped, be sure it is neatly placed and added to each copy.

C3.15. ENCLOSURES

C3.15.1. Enclosures Identified in the Text. When an enclosure(s) that accompanies a letter is mentioned in the text, type "Enclosure: As Stated" flush with the left margin, two lines below the last line for the signer's title. For more than one enclosure, use the plural form and identify the enclosures. Example:

Enclosures:	or	Enclosure:
1. Seating Chart		As stated
2. List of Attendees		

When some, but not all, enclosures are mentioned in the text, list the enclosures in the order they appear in the text.

C3.15.2. Enclosures Not Identified in the Text. Enclosures are usually identified in the text. When they are not, list each enclosure on a separate line, beginning on the next line below Enclosure(s):" and flush with the left margin. Describe each enclosure by title or in as few words as needed to identify the material. Example:

Enclosures:

1. DoD 5200.1-R
2. Listing of Classification Authorities

C3.15.3. Material Sent Under Separate Cover. When material to which reference is made is to be sent under separate cover, type "Separate Cover:" flush with the left margin, two lines below the title of the signer or any "Enclosure" notation that may precede it. List the material, even though it may be identified in the text. Send a copy of the letter with the material. Example:

Separate Cover:
Annual Defense Department Report

C3.16. DISTRIBUTION OF COPIES

In sending copies of a letter to other than the addressee, indicate by typing "cc:" flush with the left margin and two (2) lines below the signer's title or any other notation preceding it. Below "cc:" list the names or destinations of the addressee, one below the other. Identify a copy for each addressee. You may use alphabetical listings to preclude searching for rank order protocols. Example:

cc:
Director for Budget
Director for Personnel

C3.17. IDENTIFICATION OF WRITER, TYPIST AND OFFICE STATIONERY

Only on copies retained by your agency, type the writer's initials and surname, the typist's initials, the date of typing, the office symbol and telephone extension. Place this information at the left margin, two lines below the signer's title or any other preceding notation. Do not type the notation on the original or courtesy copy. Example:

Prepared by: HJ Jones:mjs:3-30-93:DASD(SP):694-4744

C5. CHAPTER 5, Paragraph C5.15., provides guidance regarding identification of the person preparing Secretary and Deputy Secretary correspondence.

C3.18. SECURITY CLASSIFICATION

If the contents of a document require safeguarding, stamp the highest classification of the material contained in the document at the top and bottom of each page.

Paragraph markings, classification authority by title or source, and declassification instructions must be applied IAW Executive Order (E.O.) 12958, April 1995 (reference (e.)), and other supplemental DoD Directives and Instructions.

C3.19. CONCURRENCES

Concurrences should be shown by a surname signed on the official file copy of the original letter. A separate listing of coordinators with their signatures and/or individually prepared coordination remarks, may be appended as a Tab. See Chapter 5 regarding concurrences on letters prepared for the signature of the Secretary and Deputy Secretary.

C3.20. REWRITES

When a letter is rewritten, mark diagonally through the original letter to preclude its release and attach it to the file copy of the latest version of the letter. Type the identification line shown on the canceled letter on the latest version file copy and on the next line. Example:

Prepared By: TL Light:nas:3-01-96:DASD(SP):695-9717
 Rewritten: BC Whitehead:bcw:3-31-96:COM:697-8261

C5. CHAPTER 5, Paragraph C5.15. and C5.16., provide guidance regarding rewrites or retypings of Secretary and Deputy Secretary correspondence.

C3.21. POSTSCRIPTS

Although writing postscripts is discouraged, one may be added to correspondence to avoid retyping. Type the postscript two lines below the signer's title or any other preceding notation. Beginning at the left margin, type the letters "P.S." followed by the postscript. The postscript should be signed or initialed by the signer of the letter. When a handwritten postscript is added by the signer, type it on all copies.

C3.22. MULTIPLE-ADDRESSED LETTERS

Multiple-addressed letters may be typed or they may be process printed depending

upon the number of copies required

C3.22.1. Typed. When the same letter is written to two or more persons, prepare an original for each recipient and only one file copy. Beginning at the left margin on the file copy, two (2) lines below the signer's title or any other preceding notation, and type "Identical letter to:". On the next line begin the list of names and addresses of the recipients of the letter. If space is lacking at the bottom of the page, type the list on a separate sheet and attach it to the file copy.

C3.22.2. Process Printed. Send one copy of a reproduced letter to each addressee. Retain one copy with an attached list of addressees as the official file copy. Type identification information on the file copy as shown in Paragraph C3.17., above.

C3.23. PETITIONS, RESOLUTIONS AND MULTIPLE-SIGNED LETTERS OR MEMORANDUMS

C3.23.1. Petitions and Resolutions. When responding to a petition or a resolution, address the person who submitted it, or the first person who signed, and mention the other signers. State in the first paragraph that the reply is intended for the others also. If practicable, make a copy for each signer. Make only one file copy and indicate on it the distribution of copies as described in Paragraph C3.16., above.

C3.23.2. Multiple-signed Letters and/or Memorandums. There are several ways of addressing replies to letters signed by two or more persons.

C3.23.2.1. Address First Signer Only. Address the reply to the first person who signed the letter and state in the first paragraph that the reply is intended for the others as well. If practicable, make a reproduced copy for each of the signers. Prepare only one file copy and indicate on it the distribution of copies as shown in Paragraph C3.16., above.

C3.23.2.2. Address All Signers Jointly. If there are no more than ten signers and they are of equal official status, address the reply to them jointly in the order of their signatures. Use the appropriate plural salutation shown in AP5. APPENDIX 5. Prepare an original for each recipient and only one file copy. List addressees as "cc:" as shown in Paragraph C3.16., above. Names of individuals may be listed alphabetically to preclude searching for rank order protocols.

C3.23.2.3. Address Each Signer Separately. Address an identical reply to each of the signers with a statement in the last paragraph that the same reply is being made to the other signers. Prepare an original for each recipient, one file copy and list the recipients as indicated in Paragraph C3.22., above.

C3.24. ASSEMBLY FOR SIGNATURE

C3.24.1. See C5. CHAPTER 5 for assembly instructions for Secretary and Deputy Secretary correspondence. AP1. APPENDIX 1 provides a "Quick Reference" checklist for assembly of signature packages.

C3.24.2. When a letter is ready for review and signature, arrange it and any accompanying papers in a convenient and logical order. Keep together all items belonging with the original of the letter, all items belonging with the information copies, and all items belonging with the file copy. Assemble the material in the three basic groups as shown below and hold each group together with clips or markers.

C3.24.2.1. The Outgoing Letter

C3.24.2.1.1. Original of the letter.

C3.24.2.1.2. Courtesy copies, if any.

C3.24.2.1.3. Enclosures, if any, in sequence in which listed.

C3.24.2.1.4. Envelope, when required.

C3.24.2.1.5. When appropriate, disc, paper copy of message and release form.

C3.24.2.2. Information Copies

Same as C3.24.2.1.1. through C3.24.2.1.5., above.

C3.24.2.3. File Copy

C3.24.2.3.1. Official file copy.

C3.24.2.3.2. Enclosures, if any.

C3.24.2.3.3. Incoming letter, if any.

C3.24.2.3.4. Material basic to the outgoing letter.

C3.24.2.3.5. Other office copies of the letter .

FIGURE C3.F1. LETTER PREPARATION
(LETTERHEAD)

(Civilian Date)

The Honorable Jean-Pierre Poisson
Minister of Defense
Minister of National Defense
Chateau sur-Mer, Atlantis

Dear Mr. Minister:

The letter is the primary vehicle for formal, written communication with Members of Congress, the Judiciary, other Federal agencies, foreign governments and private individuals. Signature packages prepared for the signature of the Secretary and Deputy Secretary which are addressed to foreign government officials must contain an original message, prepared in SARAH-Lite, for immediate processing after signature.

Allow at least one (1) inch for the left, right, and bottom page margins. Side margins may be increased to two (2) inches for a letter of not more than ten (10) lines. Letters of eight (8) lines or less should be double spaced in addition to increasing the side margins. Do not justify right margins. Use large type, such as Microsoft 6.0 (Times New Roman 12), for the Secretary and Deputy Secretary.

Paragraphs will be unnumbered but indented five (5) spaces. Chapter 4, Figure 4-3 provides paragraphing guidance. Do not use one sentence paragraphs.

The letter will be dated after signature. If in doubt regarding signatory official for the Secretary, use Secretary of Defense letterhead.

Sincerely,

(blank)

Separate Cover:
News Brief

cc:
USDAO France

FIGURE C3.F2. LETTER FORMAT OUTLINE

LETTERHEAD		1
1		
2		
3	Mr. Walter J. Jones 23 Woodhaven Drive Palm Coast, FL 32137	(Date) 10 lines
4	Dear Mr. Jones:	14 lines
5	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX. XXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.	2 lines
6	XXXXXXXXXXXXXXXXXXXXXX. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXX. XXXXXXXXXXXXXXXXXXXXXXXX.	2 lines
7	Sincerely,	2 lines
8	(Name)	4-5 lines
9	(Title)	2 lines
9	Enclosure(s): 1. XXXXXXXXXXXX 2. XXXXXXX	2 lines
9	Separate cover: XXXXXXXX	2 lines
9	cc: XXXXX XXXXX	
1		

1. One (1) margins. Do NOT justify right margin. Large type: Courier - 12; New Times Roman - 12; etc.
 2. Civilian date -- month, day, year.
 3. Full name and address; Block style.
 4. Flush with margin.
 5. Indent 5 spaces
 6. Begin approximately center of page.
 7. Block style even with complimentary close; Upper/lower case.
 8. Title if not same as letterhead; block style; Upper/lower case.
 9. In order and case as indicated; No number designator if only one enclosure.
- If enclosure(s) are in text, "As stated" may be used.

C4. CHAPTER 4

MEMORANDUMS

C4.1. USE

Memorandums are used for correspondence within the Department of Defense, to the President and the White House staff, for informal correspondence and the transmittal of routine material to other Federal Agencies. This Chapter contains instructions for preparing memorandums on letterhead stationery. FIGURES C4.F1, C4.F2, and C4.F3 provide examples of properly prepared memorandums. Figure C4.F4 provides a format outline. Figure C4.F1 also provides additional guidance on multiple-addressed memorandums. AP6. APPENDIX 6 provides examples of other memorandums such as Foreign Travel Requests, Dual Absences, Transportation Requests, Press Releases for Flag Officers, etc.; C5. CHAPTER 5 provides examples of ACTION and INFORMATION cover memorandums with the text providing additional guidance.

C4.2. STATIONERY

C4.2.1. First and Succeeding Pages. Use letterhead stationery for the first page of a memorandum. Type the second and succeeding pages on plain bond paper.

C4.2.2. Multiple-addressed Memorandums. The original of a memorandum with more than one addressee is typed as previously described. After it is signed, the original becomes the official file copy. The number of copies required to effect the necessary distribution will be reproduced from the original at the appropriate correspondence control facility.

C4.2.3. Envelopes. Envelopes, or labels in the case of classified material, when required, are the responsibility of the action office. Use envelopes with the same return address as reflected on the letterhead stationery.

C4.3. COPY REQUIREMENTS

C4.3.1. Official File Copy. An official file copy should be made for any memorandum requiring retention as a permanent record. Official file, courtesy, comeback and other copies may be made from the original using reproduction

equipment. Annotate the official file copy with information required in Paragraph C4.16., below. Courtesy copies should be prepared only for those offices who need them. Normally this means providing a copy to all coordinators.

C4.3.2. Other Copies. If the memorandum is addressed to the Secretary or Deputy Secretary, the original and three copies (to include tabs) complete with enclosures and envelopes, when required, will be furnished. Additional copies for comeback or information may be made at the discretion of the writer.

C4.3.3. Multiple-addressed Memorandums. Multiple-addressed memorandums may be reproduced from the original after signature, as is done for all multiple-addressed memorandums signed by the Secretary and Deputy Secretary. This ensures that any changes made after submission for signature are reflected accurately in all copies. Verification of copies of memorandums signed by the Secretary or Deputy Secretary shall, if necessary, be accomplished at the CCD.

C4.4. MARGINS

Allow at least one (1) inch for the left, right and bottom page margins. Allow top margin of at least one (1) inch on succeeding pages. Do not justify right margins. Use large type, such as Microsoft 6.0 Times New Roman 12 Font, for Secretary and Deputy Secretary correspondence.

C4.5. DATE

C4.5.1. Omission of Date at Time of Typing. Omit the date on a memorandum that will be signed in another office or that may not be signed on the day it is typed. The appropriate date will be added when the memorandum is signed. The CCD will date, dispatch and provide copies to originating and coordinating offices for all Secretary or Deputy Secretary signed or approved correspondence.

C4.5.2. Inclusion. When the date of signing is known, type the date in month, day, year order, two lines below the Department seal, as appropriate, beginning 1-1/2 inches from the right margin. Type the month in full. Show the day and the year in numerals. In showing the date, omit endings such as "st" or "th" and use the civilian date style: i.e., January 1, 19XX.

C4.6. ADDRESS LINE

C4.6.1. Type "MEMORANDUM FOR" in capital letters fourteen (14) lines from the top of the sheet of paper. Include the addressee's title and the name or office symbol of the office. Use enough organizational identification to ensure delivery. Names should not be used in address memorandums prepared on letterhead stationery except as illustrated in paragraph C4.7. Omit "the" in front of titles unless it is part of the title. See C5. CHAPTER 5 for cover memorandums to the Secretary and Deputy Secretary and C4. CHAPTER 4, FIGURE C4.F2 for format.

C4.6.2. When a memorandum is directed to two or more addressees, type their titles and office identifications after the phrase "MEMORANDUM FOR". If there is not enough space for all addressees or if there are more than 12 one-line addressees, type "MEMORANDUM FOR: SEE DISTRIBUTION" then type the list at the bottom of the page, flush with the left margin, two (2) lines below the last line of the signature element or last line typed in the case of attachments, etc., under the caption "DISTRIBUTION:" or attach the list of addressees on a separate page. Make as many copies of the list as of the memorandum and attach a copy of the distribution list to each copy of the memorandum. Identify the copy for each addressee.

C4.6.3. Multiple addressees should be listed as indicated in FIGURE C4.F1.

C4.6.4. When addressing memorandums to two or more, but not all Assistant Secretaries of Defense, they should be listed separately, by title, in alphabetical order.

C4.6.5. When addressing memorandums to two or more, but not all Assistants to the Secretary of Defense, they should be listed alphabetically, by title.

C4.6.6. When addressing two or more of the Defense Agencies, they should be listed alphabetically, by Agency.

C4.6.7. When addressing a combination of Defense elements, do not try to determine incumbent or protocol rankings, address the office title and relative organizational order. For example, when addressing several OSD Staff Offices, two Services, and two Defense Agencies, you may:

C4.6.7.1. list alphabetically, in relative organizational groups, beginning with the highest office addressed. That is: Service Secretaries first, OSD offices second, and Defense Agencies third, each alphabetical within their relative organizational group.

SECRETARY OF THE AIR FORCE
 SECRETARY OF THE ARMY
 USD (ACQUISITION AND TECHNOLOGY)
 USD (POLICY)
 ASD (LEGISLATIVE AFFAIRS)
 ASD (RESERVE AFFAIRS)
 DIRECTOR, DISA
 DIRECTOR, DMA

C4.6.7.2. list the OSD Staff Offices and Defense Agencies in accordance with the OSD Multimemo format (FIGURE C4.F1) and list the remaining addressees alphabetically by relative rank order as courtesy copies (cc) beginning two lines below the last line of the signature block or attachment list, as appropriate, if it is an information memorandum.

C4.6.7.3. list action addressees per Paragraph C4.6.7.1. above and information addressees as courtesy copies (cc) at the bottom of the memorandum.

C4.6.7.4. prepare a "SEE DISTRIBUTION" listing using the above guidance and attach it to the memorandum if more than 12 addressees are used.

C4.6.7.5. list all addressees using the guidance in Paragraph C4.6.7.1., above, if all addressees are action addressees. Addressees outside the listed OSD multimemo listing (FIGURE C4.F1) should be placed in relative organizational level after the last OSD office. For example, a memorandum to one ASD, one Defense Agency, and one internal Army office would be:

ASD (RESERVE AFFAIRS)
 DIRECTOR, DEFENSE MAPPING AGENCY
 ASSISTANT SECRETARY OF THE ARMY (FM&C)

The important consideration here is that all addressees are, in fact, addressed with as much attention as possible being paid to Departmental structure. Call the Office of the Director, C&D, 697-8261, with specific questions or for additional guidance.

C4.7. ATTENTION AND THROUGH LINES

C4.7.1. ATTENTION Line. When directing a memorandum to the attention of

a particular person within the organization addressed, type "ATTENTION:" or "ATTN:" in parenthesis followed by the name or title of the person, one line below and flush with the destination of the addressee. Example:

MEMORANDUM FOR GENERAL COUNSEL
(ATTENTION: LTC BROWN)

or

MEMORANDUM FOR DEPARTMENT OF ENERGY
(ATTENTION: DIRECTOR, SOLAR ENERGY
DIVISION)

C4.7.2. THROUGH Line

C4.7.2.1. When sending a memorandum through an intermediate office, type "THROUGH:" followed by the designation of the intermediate office one line below and flush with the addressee designation. Example:

MEMORANDUM FOR USD (PERSONNEL AND
READINESS)

or

THROUGH: ASD (RESERVE AFFAIRS)

C4.7.2.2. The "THROUGH" line is used to reflect the originating office's chain of command when the memorandum is addressed to the Secretary or Deputy Secretary of Defense.

MEMORANDUM FOR SECRETARY OF DEFENSE
DEPUTY SECRETARY OF DEFENSE

THROUGH: USD (PERSONNEL AND READINESS)
ASD (RESERVE AFFAIRS)

Each office from the originating office upward must either sign or initial and date their office element as the document moves through the approval/signature process. Signatures should be reflected on the "FROM" and "THROUGH" lines. No signature blocks are required on cover memorandums addressed to the Secretary and Deputy Secretary. Cover memorandums not signed or initialed in the THROUGH

line by the highest submitting organizational level will be returned by CCD.

C4.7.2.3. Do not address documents "THROUGH" the Deputy Secretary of Defense; all material automatically goes through the Deputy Secretary.

C4.8. SUBJECT LINE

Type "SUBJECT:" two (2) lines below the last line of the address element. Two (2) spaces to the right of the colon, type a brief descriptive statement of the subject. If more than one line is required for the subject, begin the succeeding lines flush with the first word in the subject line. Capitalize the first letter of each word, except for conjunctions, articles, and prepositions.

SUBJECT: Standards and Specifications for the Positions to be Established
in the Compilations Unit

C4.9. REFERENCE LINES

C4.9.1. Do NOT use reference lines in Secretary or Deputy Secretary correspondence. Any references should be contained in the body of the correspondence.

C4.9.2. References may be contained in the text or may be listed at the beginning of the memorandum. If listed, type "Reference(s):" at the left margin, three (3) lines below the subject line. List references block style two (2) spaces after the colon. List references as they appear in the text using (a), (b), (c), etc., as indicators. If there is only one reference, do not letter. If a reference is attached, state in parenthesis after the reference. When preparing classified correspondence, indicate the classification of any references in parenthesis at the end of the reference title. If a classified reference is an attachment, indicate the classification at the end of the reference line. Examples:

Reference: Report on Saudi Arabia

or

References: (a) AR 605-1
(b) AFR 380-6 (copy attached)

or

References: (a) Court Record, May 1, 1993 (S)
(b) Decree, May 2, 1993 (U) (copy attached)

C4.10. BODY OF A MEMORANDUM

C4.10.1. Spacing Begin the body of a memorandum on the third line below the subject line. Indent each paragraph five (5) spaces from the left margin. Single space within a paragraph; double space between paragraphs. Double space memorandums of one paragraph when they consist of eight lines or less. Single space any memorandum with two paragraphs regardless of length. (See FIGURES C4.F2 and C4.F3 for format guidance.)

C4.10.2. Paragraphing. When there is reason to break the paragraphs into subparagraphs, the units may be indented and also numbered and lettered. Do not begin a paragraph near the end of a page unless there is room for at least two lines on that page. Do not continue a paragraph to the following page unless at least two lines can be carried over to that page. (See FIGURE C4.F3 for additional guidance.)

C4.11. NUMBERING PAGES

Type the page number on the second and following pages either four (4) lines from the top of the page, allowing one (1) inch right margin or one (1) inch from the bottom of the page, either in the center of the page or allowing a one (1) inch right margin.

C4.12. SALUTATION AND COMPLIMENTARY CLOSE

Neither a salutation nor a complimentary close is used in memorandums.

C4.13. SIGNATURE AND TITLE

C4.13.1. Omit the signature block on all correspondence prepared for the Secretary. Type the Deputy Secretary's name on all correspondence prepared for his or her signature.

C4.13.2. When the signer of a memorandum is known, type the signer's name at least four (4) lines below the last paragraph and beginning approximately in the

center of the page. Type the signer's title on the next line flush with the name. (The title of the person signing is not necessary if it is the same as the letterhead.) If a run-over line occurs, indent the run-over line two spaces. It is permissible to stamp the name and title below the written signature. If this is done, be sure that it is stamped clearly and that it is added to all copies.

C4.13.3. Covering briefs (ACTION MEMORANDUMS) recommending signature of or decision by the Secretary and Deputy Secretary must be signed by the head of an OSD Component or his/her Principal Deputy. See CHAPTER 5 for details.

C4.14. ATTACHMENTS

C4.14.1. Attachment Identified in the Text. When an attachment accompanies a memorandum and is identified in the text, type "Attachment(s):" flush with the left margin, two (2) lines below the signature block. You may either list the attachments, numbered 1., 2., etc., flush with the margin or type "As stated" flush with the margin under the word "Attachment(s):".

C4.14.2. Attachment Not Identified in the Text. When an attachment is not identified in the text, type "Attachment(s):" two lines below the last typed line, flush with the left margin. On the next line list each attachment on a separate line, by title, or in as few words as necessary to identify the material. An attachment number designator is not required when there is only one attachment. (See Paragraph C4.9.2., above, regarding classified attachments.)

Attachments:

1. Annual Defense Report
2. Defense Review Panel Members

C4.14.3. When some, but not all, attachments are mentioned in the text, list all attachments as in Paragraph C4.14.2., above.

C4.14.4. Material Sent Under Separate Cover When material to which reference is made in a memorandum is to be sent under separate cover, type "Separate cover:" flush with the left margin and two lines below the last typed line. On the next line begin a listing of the items, even though they may be identified in the text. Send a copy of the memorandum with the material sent under separate cover.
Example:

Separate cover
 Map of Arlington County
 Blueprints for CBA Building (3 copies)

C4.14.5. Material for the Secretary and Deputy Secretary of Defense. Charts, reports, studies, tables, or any type of written material attached to a memorandum addressed to, or submitted for the signature of, the Secretary or Deputy Secretary shall be placed vertically on 8-1/2 inch by 11 inch paper. If necessary, 14 by 10-1/2 inch sheets may be used and folded forward on the right side on an 8-1/2 inch seam. Information should not be placed on the paper in such a manner that the reader would have to shift it from the normal book position.

C4.15. DISTRIBUTION OF COPIES

When copies of a memorandum are to be sent to persons other than the addressee, type "cc:" flush with the left margin, two (2) lines below the last line of the signature element or last line typed in the case of attachments. Below "cc:" list the names or designation of the additional addressees, one below the other. You may use the same basic guidance in listing copy addressees as stated in Paragraph C4.6.; i.e., alphabetically, by relative organizational levels, or you may simply list all copy addressees alphabetically. Do not try to determine incumbent or protocol rankings. Identify a copy for each addressee.

cc:	or	cc:
DUSD (Policy)		ASD (C3I)
General Counsel, DoD		ASD (LA)
		General Counsel, DoD

C4.16. IDENTIFICATION OF WRITER, TYPIST, AND OFFICE

Type the identification of the writer, typist, office symbol and telephone number only on those copies to be retained in your office. Include the writer's initials and surname, the typist's initials, the date of the typing, the office symbol and the writer's telephone extension. Place this information at the bottom of the last page, flush with the left margin. See C5. CHAPTER 5 for memorandums to the Secretary and Deputy Secretary. Example:

Prepared by F Meadows:dac:4-16-96:DUSD(SP):695-6549

C4.17. SECURITY CLASSIFICATION

If the contents of a memorandum requires safeguarding, stamp the highest level of classification of the material at the top and bottom of each page. Stamp the first page of the document with the highest overall classification of the contents of the total document. Paragraph markings, classification authority and declassification markings must be applied to classified material as contained in Executive Order 12958, April 1995 (reference (e)), and other supplemental DoD Directives and Instructions. The following is basic classification and declassification guidance that should be placed in lower left corner of the front page of any classified document:

C4.17.1. Originally classified information

Classified By: (Name/Personal Identifier and Position Title)

Reason: (Cite Category from E. O. 12958, paragraph 1.5)

Declassify On: (1) A date/event less than 10 years;
(2) 10 years from original classification decision; or,
(3) Exemption category from E. O. 12958,

paragraph 1.6.(d)

C4.17.2. Derivatively classified information

Derived From: (1) Cite identity of source document or Classification Guide; or,

(2) Enter: "Multiple Sources"

Declassify On: (1) Carry forward instructions from source document or from Classification Guide; or,

(2) More than one source, enter the longest duration of any of its sources; or,

(3) If source document(s) declassification instructions are OADR, enter: "Source Marked 'OADR,' Date of source: __ __ __"

(use date of most recent source).

See CHAPTER 5 for information concerning preparation of memorandums for the signature of the Secretary and Deputy Secretary. Note that neither the Secretary nor Deputy Secretary are normally classification authorities; i.e., the classification authority is either the person preparing the material or the classification level established from another source (derived).

C4.18. CONCURRENCES

You need not make special provisions for showing concurrences or clearances on the memorandum unless you are directed to follow a specific method. Generally, when concurrences are needed, they are best shown by a surname signed on a side or bottom margin of the official file copy. See C5. CHAPTER 5 for concurrences on memorandums addressed to the Secretary or Deputy Secretary.

C4.19. ASSEMBLY

C4.19.1. AP1. APPENDIX 1 provides a "Quick Reference" checklist for assembly. See CHAPTER 5 for assembly instructions for the Secretary and Deputy Secretary.

C4.19.2. When a memorandum is ready for review and signature, arrange it and any accompanying papers in a convenient order. Assemble the material as shown below and hold each group together with clips or with markers.

C4.19.2.1. Outgoing.

C4.19.2.1.1. Original.

C4.19.2.1.2. Courtesy copies, if any.

C4.19.2.1.3. Attachment(s), as appropriate, in sequence listed or referred to.

C4.19.2.1.4. Envelope(s), or labels in the case of classified material, if required.

C4.19.2.1.5. When appropriate, disc, paper copy of message and release form.

C4.19.2.2. Information.

Same as C4.19.2.1.1. through C4.19.2.1.5., above.

C4.19.2.3. File copy.

- C4.19.2.3.1. Official file copy.
- C4.19.2.3.2. Attachment(s), if any.
- C4.19.2.3.3. Incoming correspondence, if any.
- C4.19.2.3.4. Material basic to outgoing correspondence.
- C4.19.2.3.5. Other office copies.

FIGURE C4.F1. LISTING OF ADDRESSEES AND ADDRESSING DOD MEMORANDUMS

March 6, 1996

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
DIRECTOR, DEFENSE RESEARCH AND ENGINEERING
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE
INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
DIRECTOR, OPERATIONAL TEST AND EVALUATION
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTOR, ADMINISTRATION AND MANAGEMENT
DIRECTORS OF THE DEFENSE AGENCIES

SUBJECT: Listing of Addressees and Addressing DoD Memorandums

The addressee section of this memorandum shows the correct format for organizational titles and the complete order of listing for multiple-addressee memorandums. Normally, a complete listing will not be necessary, but the titles should be used in the order shown for any memorandum directed to two or more addressees.

For multiple-addressee and distribution purposes, the following officials are included within the title indicated above:

(1) Under Secretaries of Defense include: the Under Secretary of Defense for Acquisition and Technology, Under Secretary of Defense for Policy, Under Secretary of Defense (Comptroller), and Under Secretary of Defense for Personnel and Readiness.

(2) Assistant Secretaries of Defense include: Command, Control, Communications and Intelligence; Economic Security; Force Management Policy; Health Affairs; International Security Affairs; International Security Policy; Legislative Affairs; Reserve Affairs; Special Operations/Low Intensity Conflict; and Strategy and Requirements.

(3) Assistants to the Secretary of Defense include: The Special Assistant to the Secretary and Deputy Secretary of Defense; the Counselor to the Secretary and Deputy Secretary of Defense; The Executive Secretary of the Department of Defense; the Assistant to the Secretary of Defense (Intelligence Oversight); Assistant to the Secretary of Defense (Nuclear and Chemical and Biological Defense Programs); the Assistant to the Secretary of Defense (Public Affairs); the Director of Net Assessment; the Director, Program Analysis and Evaluation; Defense Advisor, U. S. Mission to NATO; the Director, Small and Disadvantaged Business Utilization; and the Protocol Officer for the Secretary of Defense, as well as such other assistants as may be designated from time to time by the Secretary or Deputy Secretary of Defense. Figure 4-1

FIGURE C4.F1. LISTING OF ADDRESSEES AND ADDRESSING DOD MEMORANDUMS—Continued

(4) Directors of the Defense Agencies include the Directors: Defense Advanced Research Projects Agency; Ballistic Missile Defense Organization; Central Imagery Office; Defense Commissary Agency; Defense Contract Audit Agency; Defense Finance and Accounting Service; Defense Information Systems Agency; Defense Intelligence Agency; Defense Investigative Service; Defense Legal Services Agency; Defense Logistics Agency; Defense Mapping Agency; Defense Nuclear Agency; Defense Security Assistance Agency; National Security Agency/Central Security Service; and On-Site Inspection Agency.

(5) Department of Defense Field Activities include the Directors: American Forces Information Service; Civilian Health and Medical Program of the Uniformed Services (CHAMPUS); Civilian Personnel Management Service; Defense Medical Programs Activity; Defense Prisoner of War/Missing in Action Office; Defense Technology Security Administration; Department of Defense Education Activity; Office of Economic Adjustment; Washington Headquarters Services.

When addressing memorandums to only two of the Secretaries of the Military Departments, list the individual Secretaries in the following order: (1) Secretary of the Army; (2) Secretary of the Navy; and (3) Secretary of the Air Force.

When addressing memorandums to two or more, but not all, Under Secretaries of Defense, list the individual Under Secretaries in the following order: (1) Under Secretary of Defense for Acquisition and Technology; (2) Under Secretary of Defense for Policy; (3) Under Secretary of Defense (Comptroller); and (4) Under Secretary of Defense for Personnel and Readiness.

When addressing memorandums to two or more, but not all, Assistant Secretaries of Defense, they should be listed separately, by title, in alphabetical order.

When addressing memorandums to two or more, but not all, Directors of the Defense Agencies, they should be listed separately, by title, in alphabetical order.

When addressing memorandums to two or more, but not, all Directors of Department of Defense Field Activities, they should be listed separately, by title, in alphabetical order.

DoD Directives, DoD Instructions, and Memorandums that apply directly to the Defense Agencies and/or Department of Defense Field Activities, as well as to Military Departments, should contain a statement to that effect.

This supersedes my memorandum dated October 11, 1994.

D. O. Cooke
Director

**FIGURE C4.F2. PREPARATION OF A CLASSIFIED MEMORANDUM
(CLASSIFICATION)
(LETTERHEAD)**

(Date)

MEMORANDUM FOR SECRETARY OF DEFENSE
DEPUTY SECRETARY OF DEFENSE

FROM: DIRECTOR OF ADMINISTRATION AND MANAGEMENT
(Prepared by: T. Light, DC&D, 695-9717)

SUBJECT: Preparation of a Classified Memorandum (U) - INFORMATION MEMORANDUM

() The purpose of this memorandum is to provide guidance on the preparation of a classified memorandum.

() The date will be left blank unless the signature date is known.

() Allow at least one (1) inch for the left, right and bottom margins. Do not justify the right margin. Use large type such as Microsoft Word Times New Roman 12.

() Paragraphs will be unnumbered and indented five spaces.

a. () Security classification, paragraph/subject markings, classification authority and declassification instructions will be IAW Executive Order 12958, April 1995, and other supplemental DoD Directives and Instructions. Reflect classification level in parenthesis at beginning of each paragraph and subparagraph.

b. () When the cover memorandum is unclassified, ensure the appropriate disclaimer is reflected on the first page of the cover memorandum.

() Ensure that attachments are tabbed; package is assembled using clips; do not use staples or pins.

() Do not reflect the Secretary or the Deputy Secretary as the classification authority; the originating office determines this authority.

Attachments:

1. Drug Related Issue Paper (C)
2. DoD 5200.1-R (U)

cc:

USD(A)

Classified by:

or

Derived From:

Reason:

Declassify On:

Declassify On:

See Paragraph 4-17

Unclassified when
separated from attachment(s)

(CLASSIFICATION)

FIGURE C4.F3. INSTRUCTIONS ON PARAGRAPHING

(LETTERHEAD)

January 1, 1996

MEMORANDUM FOR DIRECTOR OF ADMINISTRATION & MANAGEMENT

THROUGH: DIRECTOR, CORRESPONDENCE & DIRECTIVES

SUBJECT: Instruction for Paragraphing

This example shows the arrangement of paragraphs in correspondence so complex that reading guides are needed. An arrangement of this kind is more often applicable to informal reports in memorandum form.

a. Paragraphs are typed in indented style; i.e., indented five (5) spaces from the left margin. They are single-spaced, with double spaces between each paragraph. Do not justify the right margin.

(1) When a paragraph is subdivided, it must have at least two subdivisions. If there is a subparagraph "a.", there must be a subparagraph "b.".

(a) When paragraphs are subdivided, lettered, and numbered, they are designated as follows: a., (1), (a), 1., a., (1), and (a).

(b) Each successive subdivision of a paragraph is indented an additional five spaces.

(c) The second and subsequent lines of paragraphs and all subdivisions, except long quoted passages, extend from the left to the right margin.

(2) Begin a paragraph near the end of a page only if there is space for two or more lines on that page. A paragraph is continued on the following page only if two or more lines can be carried over to that page.

b. Title or captions are used in lengthy communications to increase ease of reference and reading. This arrangement may be varied to meet special requirements, such as those for legal documents.

(Name)

Title

FIGURE C4.F4. MEMORANDUM FORMAT OUTLINE

LETTERHEAD	1	
(Date)		10 lines
MEMORANDUM FOR THE DEFENSE ADVISOR (ATTN: MR. SAMUELS)		14 lines
SUBJECT: Congressional Correspondence to the United Nations		2 lines
Reference(s): (a) XXXXXXXXXXXX Include in or text. (b) XXXXXXXX (attached)	 	2 lines 2 lines 2 lines
XX XXXXXXXXXXXX. XX XXXXXXXXXX.		2 lines
a. XX.		2 lines
b. XX.		2 lines
XXXXXXXXXXXXXXXXXXXX. XXXXXXXXXXXXXXXXXXXXXXXX. XXX.		2 lines
		4-5 lines
(Name) (Title)	 	Approx. center of page
Attachment(s): 1. XXXXXX 2. XXXXXX		2 lines
Separate cover: XXXXXX		2 lines
cc: XXXXXX XXXXX	 	2 lines 2 lines
DISTRIBUTION: XXXXXXX XXXXXXX		2 lines

1. One (1) inch margins. Do NOT justify right margin. Large type: Courier - 12, New Times Roman - 12, etc.
2. Civilian date -- month, day, year.
3. All Caps. Multiple address -- "MEMORANDUM FOR: SEE DISTRIBUTION" in all caps.
4. "ATTENTION:", or "ATTN:", or "THROUGH:" lines; All caps; In parenthesis; Beginning with first letter of addressee title.
5. "SUBJECT:": In caps; 2 spaces; Subject line text in upper/lower case.
6. "Reference(s)": - If listed, upper/lower case; 2 spaces; Block style; No letter designator if only one reference.
7. Indent five (5) spaces.
8. Indent each subparagraph five (5) additional spaces; no a. without b., etc.
9. Begin approximate center of page; Upper/lower case.
10. Title if not same as letterhead, Block style; Upper/lower case.
11. In order and case as indicated; No number designator if only one attachment; If all attachment(s) are mentioned in text: "As stated" may be used; Distribution may be on separate page.

C5. CHAPTER 5

CORRESPONDENCE ADDRESSED TO, OR FOR THE SIGNATURE OF, THE SECRETARY OR DEPUTY SECRETARY

C5.1. GENERAL

C5.1.1. This Chapter contains procedures to be followed in preparing and forwarding correspondence addressed to, or for the signature of, the Secretary and Deputy Secretary. There are exceptions to procedures described elsewhere in this Instruction. Forms of address, salutation, and complimentary close, if not specifically covered in this chapter, will follow those illustrated in AP5. APPENDIX 5. All correspondence signed by the Secretary and Deputy Secretary shall be typed with large type, such as Microsoft Word 6.0, Times New Roman 12 Font.

C5.1.2. FIGURES C5.F2 and C5.F3 provide examples of Secretary and Deputy Secretary cover memorandums. These memorandums are to be used in forwarding Secretary and Deputy Secretary ACTION and INFORMATION packages. The example memorandums themselves contain preparation guidance.

C5.1.3. All material destined for the Secretary, Deputy Secretary and Executive Secretary must be processed through CCD. The only exceptions are: items for Breakfast Books; items for Day Books; Retirement Letter Requests to the White House Military Office; Intelligence Daily Summaries, J-3 Operational Summaries (Daily and Weekly); Weekly Activity Report submissions; Notification to White House of Servicemember Deaths; and "green dot" material (see Paragraph C5.1.4., below).

C5.1.4. An original with envelope(s) or label(s) and disk (when appropriate) and three complete copies of all memorandums addressed to the Secretary, Deputy Secretary and Executive Secretary are required by CCD. "Complete copies" include all tabs, attachments, etc., as appropriate. Time-sensitive material should be flagged with a "red tag." Extremely hot material (formally required by the Secretary or Deputy Secretary within two hours) should be flagged with a "green dot." "Red tag" material will be expeditiously processed and delivered by CCD. "Green dot" material should be hand-carried directly to the Executive Secretary.

C5.1.5. Do NOT provide preparer's voice mail telephone numbers on the cover memorandum when forwarding correspondence to the Secretary and Deputy

Secretary. CCD, the Executive Secretary, and the Military Assistants to the Principals **MUST** be able to contact the person preparing the correspondence in the event of questions from the Principals, missing items, retypings, etc.

C5.2. STATIONERY

C5.2.1. Letterhead Stationery. Type the first page of a letter or memorandum prepared for signature by the Secretary on "Secretary of Defense" letterhead bond; for the signature of the Deputy Secretary on "Deputy Secretary of Defense" letterhead bond. NOTE: If in doubt as to Secretary or Deputy Secretary signature, prepare first page on Secretary of Defense letterhead. (FIGURE C3.F1 provides an example of a properly prepared letter.) Type the second and succeeding pages on plain bond paper.

C5.2.2. Envelopes. The action agency is responsible for the preparation of envelopes. If an envelope is required, use one imprinted with the appropriate return address; that is, Secretary of Defense or Deputy Secretary of Defense. Do not type action agency office titles or symbols on Secretary or Deputy Secretary envelopes or letterhead.

C5.2.3. Copies. Keep courtesy copies to an absolute minimum. When required, reproduce them from the original after signature. This ensures that any changes after submission for signature are reflected in all copies. Reproduction of courtesy copies of the Secretary and Deputy Secretary signature items will be accomplished at the CCD prior to dispatch. Normally the action office and any coordinating office(s) will receive a signed copy. Exception: Memorandums to the President are considered personal communication; signed copies will not be released outside CCD. A copy of the cover brief will be returned to the originating office.

C5.3. REFERENCE LINES

Do not use reference lines in Secretary or Deputy Secretary correspondence. Any reference(s) should be contained in the body of the correspondence.

C5.4. SPECIAL MAILING INSTRUCTIONS

When special mailing instructions are necessary, type them on the envelope above the address element, NOT on the letter or memorandum.

C5.5. CONGRESSIONAL CORRESPONDENCE

C5.5.1. Coordinate correspondence addressed to a Member of Congress with the Assistant Secretary of Defense (Legislative Affairs) before submission for signature. (See Chapter 6.)

C5.5.2. When sending letters to Chairpersons of Congressional Committees or Subcommittees, the letter should be addressed to the Chairperson with a courtesy copy to the ranking minority member. Use the format for sending a courtesy copy:

cc:
Honorable (Name)
Ranking (Republican or Democrat, as appropriate)

C5.6. DUAL SIGNATURE ITEMS

C5.6.1. Most signature items requiring the signature of either the Secretary or Deputy Secretary and the head of another agency will be prepared on plain bond paper. If prepared within the DoD, the DoD signature will be on the right side of the page. The Secretary's (or Deputy Secretary's) name should be typed four lines below the last line of the text, five spaces to the right of the center of the page, in upper and lower case type, along with his or her title blocked under the name. That is:

John Q. Smith
Secretary of Defense

If the succeeding signature name and title are known, they should be typed four lines below the last line of text, flush with the left margin, in upper and lower case. That is:

Robert B. Doe	John Q. Smith
Secretary of Commerce	Secretary of Defense

The CCD will enter the date the document was signed by the Secretary or Deputy Secretary immediately below the signature block.

C5.6.2. Dual signature items to be signed by two or more OSD offices may use "Office of the Secretary Defense" letterhead using the same format as indicated in Paragraph C5.6.1., above. The preparing office's signature block should be on the

right side of the page.

C5.7. INTERDEPARTMENTAL CORRESPONDENCE

C5.7.1. All written communications from the Department addressed to the President, the Vice President, the Chief of Staff to the President, or to the Assistant to the President for National Security Affairs shall be prepared for the signature of either the Secretary or Deputy Secretary.

C5.7.2. Routine staff to staff communications with the White House should be prepared for forwarding by the Executive Secretary of the Department of Defense to: The Military Assistant to the President, the Executive Secretary of the National Security Council, or the National Security Advisor to the Vice President. Correspondence for signature by the Executive Secretary should be forwarded under cover of an ACTION MEMORANDUM. (See AP6. APPENDIX 6 for guidance on formats and content of correspondence forwarded to the Executive Secretary.)

C5.8. FORMS OF ADDRESS

See AP5. APPENDIX 5 for examples and further guidance.

C5.8.1. All Presidential appointees and Federal and State elected officials, past and present, are addressed as "Honorable." A person once entitled to "Judge," "General," "Honorable," "His Excellency," "Ambassador," or similar distinctive title may retain the title throughout his or her lifetime. Under certain circumstances "Honorable" may be replaced by a title such as "General," "Dr." or "His Excellency." As a general rule, county and city officials, with the exception of mayors, are not addressed as "Honorable."

C5.8.2. In most instances, the incoming letter or its envelope will indicate whether a woman wishes to be addressed as "Miss," "Mrs.," or "Ms." If she uses "Ms.," then address her in that manner. If she has not indicated a preference, and there is no way to determine whether she is married or single, address her as "Ms." See Appendix 5 for additional information.

C5.8.3. Foreign royalty who also function in government positions should be addressed by their civilian royal title. See Appendix 5 for guidance or call the appropriate country desk within the Under Secretary for Policy offices.

C5.8.4. "Esquire" is an unofficial title used by legal and foreign personnel. Should an individual choose to use this title, type "Esquire " or "Esq.", preceded by a comma at the end of his name. He should be addressed, however, as "Mr."

C5.8.5. Many correspondents use initials with a surname in most cases making it impossible to determine if they are male or female. In such cases, it is proper to use either the same initials and surname or use the title "Mr." in the salutation.

C5.8.6. Use as few abbreviations as possible in the address. All addresses must contain the appropriate ZIP+4 Codes. There should be two spaces between the State and the Zip Code. The ZIP+4 Code should be used if known.

C5.8.7. Use ZIP Codes in the body of a letter ONLY when giving a complete mailing address for information. When a name and address is mentioned only to identify an individual, the ZIP Code is not necessary.

C5.9. SALUTATION

Formal salutations are used by the Secretary and Deputy Secretary followed by a colon. Specific exceptions are published periodically by the Executive Secretary. Questions concerning specific cases may be addressed to C&D at 703-697-8261.

C5.9.1. Formal Salutations. When formal salutations are used, they should be followed by a colon as illustrated in AP5. APPENDIX 5.

C5.9.2. Informal Salutations. Informal salutations are followed by a comma.

C5.10. PARAGRAPHING

C5.10.1. Format. Indent each paragraph five (5) spaces. Do not number paragraphs. Do not justify the right margin. Use large type, such as Microsoft 6.0, Times New Roman 12 Font, for Secretary and Deputy Secretary correspondence. See C3. CHAPTER 3 for general format instructions.

C5.10.2. Content. A paragraph should convey one main thought and all the sentences in the paragraph should relate to that thought. It is confusing to the reader when unrelated ideas are included. Do not use one sentence paragraphs in letters.

C5.10.3 Punctuation and Spelling. Use Webster's New World or New

Collegiate Dictionary to determine the division of words. Use the hyphen sparingly; a slightly uneven right margin is preferred over hyphenated words. Never hyphenate a word at the end of a page. Pay particular attention to the spelling of names. Never hyphenate a person's name. If a full name must be split, do so after the first name, when there is no initial, or after the initial. Do not use the incoming letter as the authoritative source for the proper spelling of names of Congressmen and other officials who are mentioned in it. Look these up in the U.S. GOVERNMENT MANUAL.

C5.11. BODY OF THE LETTER

Be brief, clear, responsible and timely. Always try to write the kind of letter you would want to receive. Use the degree of formality appropriate to the subject matter and to the individual addressee. The letter should be warm and conversational in tone.

C5.11.1. Enclosures

C5.11.1.1. Identify the enclosure(s) to the incoming letter in your reply:

"Thank you for your recent letter enclosing a copy of (title).
I appreciate your sending it to me and look forward to
reading (reviewing) it with interest."

C5.11.1.2. When responding to someone who sends a brochure, or other enclosure, make sure that the Secretary or Deputy Secretary does not say anything that could be used as an endorsement of any kind, especially in cases where the DoD does not take a position or does not want to seem to take a position. In most cases the Secretary and Deputy Secretary would not say that they had read the enclosure. This eliminates the need for obtaining their opinions and leaves them free to read the items they wish when it is most convenient for them to do so. When the item is so brief that it does not make sense to "look forward to reading it," and when a noncommittal response is in order, say something like:

"I appreciate having.... It was thoughtful of you to call it to my attention." or,

"I appreciate your thoughtfulness in sending me a copy."

C5.11.1.3. When preparing a letter for the signature of the Secretary or

Deputy Secretary that will transmit bulky or technical documents, do not word the letter to imply that every word in the enclosure has been personally reviewed by the signer.

C5.11.2. Dates and Names

C5.11.2.1. When a date comes at the end of a line, ensure that the month and day are on the same line.

C5.11.2.2. When proper names are mentioned in the body of a letter, the title, first name, middle initial, and last name should be on the same line, if possible. When it is necessary to separate these elements, the middle initial should remain on the same line with the first name. Never hyphenate a person's name.

C5.12. COMPLIMENTARY CLOSE

Use "Sincerely," for the complimentary close in letters prepared for the signature of the Secretary and Deputy Secretary of Defense.

C5.13. SIGNATURE BLOCK

Omit the signature block on all correspondence prepared for the signature of the Secretary. Type the Deputy Secretary's name, in upper/lower case, on all correspondence prepared for his or her signature. Should the Deputy Secretary sign for the Secretary on the Secretary's letterhead, type "Deputy Secretary of Defense" under the Deputy Secretary's typed name. There are some documents that require the signature of the Secretary by statute or protocol. When such items are signed by the Deputy Secretary, use Secretary of Defense letterhead and type "Acting Secretary" under the Deputy Secretary's name. Check with CCD or the Executive Secretary when you believe the latter case may exist.

C5.14. MEMORANDUMS ADDRESSED TO THE SECRETARY AND DEPUTY SECRETARY

C5.14.1. All memorandums, whether "ACTION" or "INFORMATION," addressed to the Secretary should reflect the Deputy Secretary in the "MEMORANDUM FOR" line; i.e.,

MEMORANDUM FOR SECRETARY OF DEFENSE

DEPUTY SECRETARY OF DEFENSE

Memorandums for the Deputy Secretary should be addressed to the Deputy Secretary only. All memorandums intended for the Secretary automatically goes through the Deputy Secretary when processed through CCD.

C5.14.2. Memorandums addressed to the Secretary and Deputy Secretary should be identified in the subject line as "ACTION MEMORANDUM" or "INFORMATION MEMORANDUM." An ACTION MEMORANDUM is one that transmits an item for signature or otherwise requires a principal to make a decision. See Page 131 for a sample ACTION MEMORANDUM. An INFORMATION MEMORANDUM provides information to a principal but does not require action or decision by the principal. Examples:

SUBJECT: Nomination of MG Don Ott, USA, for Director, Defense Mapping Agency - ACTION MEMORANDUM

SUBJECT: Status of Swan Island - INFORMATION MEMORANDUM

C5.14.3. ACTION MEMORANDUMS requiring a decision and/or signature by the Secretary or Deputy Secretary should be submitted early enough to permit reasonable study and consideration of the issues involved. At a minimum, they should be provided at least two working days in advance of any deadline for signature and/or decision.

C5.14.4. Memorandums should be no longer than necessary to adequately inform the Secretary or Deputy Secretary of the matter concerned. If a signature item is short and self-explanatory, the ACTION MEMORANDUM may only consist of a recommendation for signature and, if needed, include the concurrences of other OSD Components.

C5.14.5. If a memorandum to the Secretary or Deputy Secretary treats more complex matters, its opening paragraph should contain a concise statement of the issue or a description of the problem. The following paragraphs should develop the facts and issues, including the advantages and disadvantages of all viable courses of action, when appropriate. ACTION MEMORANDUMS should conclude with a definite and specific statement as to the action recommended.

C5.15. IDENTIFICATION OF WRITER AND OFFICE

Type the identification of the writer, office symbol and telephone extension directly below the "FROM:" line on cover memorandums addressed to the Secretary and Deputy Secretary. Do NOT use the preparer's voice mail telephone numbers on Secretary and Deputy Secretary of Defense memorandums. The CCD, the Executive Secretary or the Military Assistants must be able to reach the writer in the event of questions, changes, missing material or retypings. See FIGURES C5.F2 and C5.F3.

FROM: (Position Title)

Prepared by: (Name, Office Symbol, Extension)

C5.16. RETYPINGS

If the CCD or Executive Secretary returns an outgoing letter or memorandum intended for the Secretary or Deputy Secretary signature for retyping or reaccomplishment, return the original and the edited or changed correspondence with the reaccomplished package. All such packages should be returned through the CCD for proper tracking and record updating.

C5.17. SECURITY CLASSIFICATION MARKINGS

C5.17.1 If the contents contain national security information requiring classification, stamp the appropriate security classification at the top and bottom of each page. Paragraph markings, classification authority and declassification guidance are the responsibility of the action office and should be in accordance with E.O. 12958, April 1995 (reference (e)), and other supplemental DoD Directives and Instructions. See C4. CHAPTER 4, Paragraph C4.17. and FIGURE C4.F2 for assistance.

C5.17.2. The originating office determines the origin of the classification levels and the downgrading or declassification guidance. Remember that neither the Secretary nor the Deputy Secretary are to be listed as classifiers, unless they in fact determine the classification of particular information.

C5.18. COORDINATION

See Paragraph C1.5.3. for detailed coordination information.

C5.18.1. The originating office is responsible for obtaining the necessary

coordination of other OSD offices on memorandums submitted to the Secretary and Deputy Secretary of Defense. Coordination means either concurrence or nonconcurrence. When no coordination is required, or when a particular OSD office appears to have an interest but in fact need not be consulted, a statement to this effect should be included at the end of the memorandum.

C5.18.2. Concurrences must be obtained from the head or principal deputy of the offices involved. If a principal deputy signs or coordinates on a memorandum addressed to the Secretary or Deputy Secretary, it is presumed that he does so with the knowledge and approval of his or her superior. When other OSD offices nonconcur in a memorandum addressed to the Secretary or Deputy Secretary, a full explanation of the differences should be included by the originating office, either in the memorandum or in a supplemental sheet attached to the memorandum. This should include the reasons why the originating office believes the nonconcurrence should be overruled or that the recommended changes have been incorporated.

C5.18.3. Coordinations should be shown on the "COORDINATION:" line on cover memorandums. The coordinator's office symbol and initials should be reflected on this line. If numerous coordinations are required or if coordinators provided written comments, indicate "See Tab ___" on the "COORDINATION:" line and attach the coordination sheet or any written coordination(s) at the tab.

C5.19. ASSEMBLY FOR SIGNATURE

C5.19.1. AP1. APPENDIX 1 is a "Quick Reference" for assembling correspondence.

C5.19.2. Action Memorandum. When an ACTION MEMORANDUM is ready for review and signature, it should be assembled and copies provided as indicated below:

C5.19.2.1. ACTION MEMORANDUM. This is the memorandum from the OSD Component to the Secretary or Deputy Secretary.

C5.19.2.2. Proposed signature correspondence, followed by attachments, if any, in the sequence in which they are referred to in the text. Secure with paper clip or binder clip; pins or staples should NOT be used. Include envelope(s) or label(s) and disc (when appropriate) with the original copy of the package.

C5.19.2.3. Background material. Any correspondence that is referenced in

the ACTION MEMORANDUM or in the correspondence being submitted for signature should be included in this material.

C5.19.2.4. The original copy of the incoming correspondence, with enclosures, if any.

C5.19.2.5. Coordination, tabbed and identified. When a supplemental sheet is necessary, it should be the last tab in the package.

C5.19.2.6. Three additional and exact duplicates, properly tabbed, of C5.19.2.1. through C5.19.2.5. above. Envelopes or labels and discs are only required with the original copy of the package.

C5.19.2.7. Envelope(s), if needed, address side up. Two (2) address labels are required for each outgoing classified document.

C5.19.2.8. Receipts (unnumbered SD Forms 120) made out for each action, coordination, and information addressee for classified signature items.

C5.19.2.9. Comeback copy, if one is desired, clearly identified to show the office of origin.

C5.19.2.10. When appropriate, the SARAH-Lite disc, a paper copy of the message and the message release form.

C5.19.3. Information Memorandum. Assemble INFORMATION MEMORANDUMS in the following order:

C5.19.3.1. INFORMATION MEMORANDUM

C5.19.3.2. Background material (only if necessary).

C5.19.3.3. The original copy of the incoming correspondence and any accompanying enclosures.

C5.19.3.4. Three additional and exact duplicate copies, properly tabbed, of C5.19.3.1. through C5.19.3.3., above.

C5.20. PRESENTATION TO THE SECRETARY AND DEPUTY SECRETARY

After the memorandum is signed at the Under Secretary of Defense or Assistant

Secretary of Defense level, the originating office should process the correspondence through their respective correspondence control point for delivery of the original and three copies, with supporting documents, to the CCD, Room 3A948. The original and all copies of correspondence signed by the Secretary and Deputy Secretary will be dispatched by the CCD. Questions concerning documentation requirements may be addressed to 703-695-3133 for unclassified cases, to 703-697-6131 for classified cases, and to 703-695-6151 for unclassified White House cases.

C5.21. CORRESPONDENCE PREPARED FOR SIGNATURE TO FOREIGN GOVERNMENT OFFICIALS

Letters prepared for the signature of the Secretary or Deputy Secretary, which are addressed to foreign government officials, should contain an original message version for immediate processing after signature. Messages must be prepared by the originating office on diskettes using SARAH-Lite software. The diskette, a diskette release form, and a paper copy of the message must be included in the signature package. To obtain the SARAH-Lite software, contact the Cable Division at 703-697-8151. The letter version will be processed by the CCD after signature and forwarded to the addressee(s) via State Department Pouch System, APO, or facsimile, as appropriate. The original message version will be forwarded by the CCD to the C&D Cables Division for dispatch. The indicator "FM SECDEF WASH DC" is used only on outgoing messages that are actually from the Secretary or Deputy Secretary. The internal distribution/local routing block must include the following: SECDEF-N/SECDEF-C. Note that only the Secretary, Deputy Secretary, Military Assistants to the Secretary and the Executive Secretary are authorized to approve the release of the Secretary's electronic communications.

C5.22. MEMORANDUMS TO THE PRESIDENT

Memorandums for the President are prepared in the basic memorandum format. The following special guidance applies:

C5.22.1. Use Secretary of Defense letterhead.

C5.22.2. Do NOT indicate action or information memorandum after the subject line.

C5.22.3. Do NOT justify the right margins.

C5.22.4. Use large type such as Microsoft Word 6.0, Times New Roman 12 Font.

C2. CHAPTER 2, Paragraph C2.11.2. and C2.11.3., and FIGURE C5.F1 provide detailed guidance and a sample memorandum, respectively.

C5.23. PRESIDENTIAL BRIEFING MEMORANDUMS

See C2. CHAPTER 2, Paragraph C2.12.3., for guidance.

FIGURE C5.F1. MEMORANDUM TO THE PRESIDENT

(LETTERHEAD)

(blank)

MEMORANDUM FOR THE PRESIDENT

SUBJECT: Correspondence to the President

The purpose of this memorandum is to provide a sample of a memorandum for the President. Basic memorandum preparation guidance found in Administrative Instruction No. 7 is reflected in this sample.

The following special guidance applies:

a. Memorandums to the President should normally be on one page. They will be signed by the Secretary; therefore, use Secretary of Defense letterhead.

b. Do NOT indicate "ACTION" or "INFORMATION" memorandum after the subject line. When providing information to the President, the elements found in Chapter 2, Paragraph 2-12.c., should be covered, as applicable. Should a second page be required, follow normal memorandum preparation guidance.

Memorandums for the President should be addressed under cover of an ACTION MEMORANDUM for the Secretary. Remember that these memorandums should reflect the best the Department has to offer in appearance, clarity and conciseness.

(blank)

FIGURE C5.F2. INFORMATION MEMORANDUM
(LETTERHEAD)

(Date)

MEMORANDUM FOR SECRETARY OF DEFENSE
DEPUTY SECRETARY OF DEFENSE

THROUGH: (POSITION TITLE, WHEN APPLICABLE) (Signature or initials and date on this line)

FROM: (POSITION TITLE) (Signer's signature or initials and date on this line)
Prepared by: (Name, Office Symbol, Extension) {Do NOT use voice mail line}

SUBJECT: (Brief subject) - INFORMATION MEMORANDUM

PURPOSE: Concisely stated need for the memorandum: i.e., respond to specific request; update on a particular issue; status reports on current issues; summarize a report; etc.

DISCUSSION: Statements of situation or subject; new developments; interpretative comments; probably future development(s); summary of attached reports, etc. Information memorandums should be one page. If longer or additional, detailed information needs to be provided, the material should be provided as attachments and referenced in the body of the short cover memorandum. Any taskers should be attachments. See Administrative Instruction 7 (AI7), Chapters 2 and 4, for additional guidance.

Basic guidance regarding type face sizes, margins, etc., as contained in AI7, apply. Margins for the cover memorandum are flexible; i.e., need not be indented block style (see Figure 5-3). Format elements may vary depending on the subject involved; i.e., background or options versus discussion. All memorandums should be addressed to both the Secretary and Deputy Secretary of Defense unless specifically for the Deputy Secretary.

Ensure all levels have signed/initialled and dated the cover memorandum. All coordinations have been effected. Do NOT use voice mail telephone numbers in the "Prepared by" line.

FIGURE C5.F3. ACTION MEMORANDUM
(LETTERHEAD)

(Date)

MEMORANDUM FOR SECRETARY OF DEFENSE
DEPUTY SECRETARY OF DEFENSE

THROUGH: (POSITION TITLE (WHEN APPLICABLE)) (Signature or initials and date on this line)

FROM: (POSITION TITLE) (Signer's signature or initials and date on this line)
Prepared by: (Name, Office Symbol, Extension) {Do NOT use voice mail telephone line}

SUBJECT: (Brief subject) - ACTION MEMORANDUM

PURPOSE: Concisely state problem or issue. Urgent or immediate action issues should be flagged here.

DISCUSSION: Cover memorandums for ACTION memorandums shall be short, to the point and one page. Brief recital of the issues involved and important background to include a description of the action-forcing event, the Agency's position in the matter and an analysis of the impact of any decision. Attach additional staff-prepared discussions, outgoing signature item (when appropriate), incoming taskers, and any other pertinent information that may be needed to make an intelligent, informed decision. See Administrative Instruction 7 (AI7), Chapter 2 and Appendix A, for additional guidance.

Make maximum use of the space available for a one-page cover memorandum within the guidelines provided regarding contents, type size and spacing. Signature(s) on cover memorandum should be reflected on the "FROM" or "THROUGH" office lines using either full signature or initials (as long as identification of the signer is clear).

COORDINATION: Coordinations (office symbols) and initials, or indicate Tab location.

RECOMMENDATION: Carefully framed recommendation consistent with information provided above.

APPROVED: _____

DISAPPROVED: _____

OTHER:

C6. CHAPTER 6

REPLIES TO CONGRESSIONAL, GENERAL PUBLIC AND WHITE HOUSE CORRESPONDENCE

C6.1. GENERAL

Replies to Congressional, General Public, and White House correspondence shall be prepared in accordance with the preceding chapters with more specific guidance in C2. CHAPTER 2. This chapter adds instruction about the special practices that may be necessary in replying to such correspondence.

C6.2. ACTION ASSIGNMENT

C6.2.1. The CCD is responsible for the receipt, analysis, action assignment, and control of all Congressional and General Public correspondence addressed to the Secretary and Deputy Secretary, Congressional correspondence addressed to the Assistant Secretary of Defense (Legislative Affairs), and White House correspondence referred to the DoD for reply.

C6.2.2. In the event the content of an incoming communication involves subject matter of equal responsibility to more than one OSD Component, the CCD shall assign primary responsibility to one of the offices and require appropriate coordination.

C6.2.3. Designated Action Agencies may appeal the action assignment within 24 hours by contacting the appropriate CCD office (See Paragraph C1.2.2.). Such appeal must be made by the Action officer, an Executive Officer, or higher level person. After the 24-hour period, action changes are the responsibility of the initial action office. Mutually agreed action transfers are made by returning the original correspondence to the CCD under cover of an SD Form 391, "Report on Secretary of Defense Correspondence," showing the name, office and telephone number of the accepting official.

C6.2.4. In cases where agreement as to action responsibility cannot be reached, return the original correspondence to the CCD within 24 hours with a covering SD Form 391, signed by the action officer, an Executive Officer or higher level person, indicating agencies contacted and a brief statement of reasons for their refusing responsibility.

C6.2.5. In those cases where the action assignment is for preparation of a reply for the signature of the Secretary or Deputy Secretary (PRS/PRD), and the action agency determined the correspondence does not require a reply, an SD Form 391 must be submitted to the CCD stating the reasons in full. Such statements as "overtaken by events" or "reply not necessary" are NOT acceptable unless accompanied by explicit reasons as to how the correspondence has been overtaken by events or why a reply is not necessary.

C6.3. SUSPENSE DATE, INTERIM REPLIES, AND ACKNOWLEDGMENTS

C6.3.1. Suspense dates are established at the time of action assignment. Suspense dates will be as outlined in C1. CHAPTER 1, Paragraph C1.5.4.2. Exceptions will be made in those cases in which the correspondence contains a requirement for information requiring extensive research or involvement.

C6.3.2. Heads of OSD Components are responsible for preparing replies within established suspense dates. If a suspense cannot be met, the Action Agency shall forward an SD Form 391 to the CCD stating an estimated completion date and the reason for the delay. Provide information on what has been accomplished and what still needs to be done before the response is completed.

C6.3.3. Action offices shall furnish interim replies when all of the information is not readily available or is of such volume or complexity as to prohibit preparation of a complete reply within the established suspense date. The interim reply shall be made promptly and shall include available information, reason for the delay, steps being taken to obtain the information requested, and the date by which a final response may be expected.

C6.3.4. When initial acknowledgments are used promising substantive responses later, every effort shall be made to dispatch such follow-up letters within five working days. In those few instances when final replies cannot be made within this time limit, an interim reply shall be provided as indicated above.

C6.3.5. Interim replies should be made in writing. In those exceptional cases when an interim reply is made by telephone, the Action Agency shall forward to the CCD an SD Form 391 containing the name and telephone number of the person contacted and a brief statement of the information provided.

C6.3.6. Copies of all interim and final replies and acknowledgments shall be

furnished to the CCD. Copies of final replies should include the original incoming correspondence. These documents then become part of the official records of the Secretary and Deputy Secretary.

C6.3.7. A copy of all Reply Direct correspondence to a Member of Congress signed in the OSD shall be furnished to the Assistant Secretary of Defense (Legislative Affairs).

C6.4. SUSPENSE REPORTING

C6.4.1. The CCD submits weekly reports to the offices of the Secretary and Deputy Secretary of Defense, and to the Executive Secretary reflecting the status of all correspondence due or overdue. The report status must reflect accurate and current information as provided by each action office.

C6.4.2. On Friday of each week (Thursday when Friday is a holiday), a machine printout of White House and Congressional suspense cases, due or to become due as the following Tuesday, is furnished to the Executive Secretary and the ASD(LA). The CCD, White House Liaison Office updates this report verbally with the Services involved.

C6.5. COORDINATION

C6.5.1. Any office assigned action is responsible for coordinating replies with other involved components. When two or more coordinators are involved, simultaneous copies should be provided each office.

C6.5.2. All replies to correspondence that may result in the release of information with significant public affairs implications shall be coordinated with the ATSD(PA).

C6.5.3. All correspondence responding to inquiries received in the OSD from Members of Congress and their staffs, as well as correspondence originating in OSD that is being provided to the Congress, shall be coordinated with the ASD(LA).

C6.5.4. Coordinate with the Executive Secretary on material such as draft replies to inquiries received from the White House and direct responses to inquiries referred to the DoD when copies of such replies are requested by the White House staff.

C6.6. REPETITIVE PUBLIC INQUIRIES

C6.6.1. Repetitive Public Inquiries are those continuing and voluminous requests for information from the general public concerning a particular subject or occurrence. Such inquiries are generally the result of newspaper articles, press releases, speeches by public officials, and publicly announced policy changes. Although numerous, these inquiries pose questions that can be answered without repetitive research.

C6.6.2. OSD Components assigned as action agencies shall transfer correspondence which involves apparent repetitive inquiries to the ATSD(PA). OSD Components charged with initial development of information required for replies to repetitive public inquiries shall be responsible for furnishing the ATSD(PA) with information on which to base a reply and for updating information as the situation changes. Return all original correspondence and proposed replies for transfer to ATSD(PA) to the CCD along with the SD Form 391.

C6.7. CONGRESSIONAL CORRESPONDENCE NOT RECEIVED THROUGH CCD

C6.7.1. Any Congressional correspondence received directly in an OSD Component is the responsibility of that office; that is, the correspondence will not be controlled by the CCD. All replies to such correspondence, except for Congressional correspondence forwarding a constituent letter, should be coordinated with the ASD(LA).

C6.7.2. Members of Congress frequently forward letters from constituents to an executive agency for action. The constituent's letter, if it is an original, shall be returned to the Member of Congress with the reply. If the reply is made to the constituent directly, the constituent's letter shall be returned to the Member of Congress with a copy of the reply.

C6.7.3. If a letter from a Member of Congress is signed by an employee in his office, address the reply to the Member of Congress rather than the person who signed for him/her, but mark the envelope to the attention of the person who signed.

C6.7.4. When replying to a letter signed by more than one Member of Congress, address an original reply to each of the signing Members. Indicate in the final

paragraph that each Member is being sent a similar response.

C6.8. WHITE HOUSE CORRESPONDENCE

White House correspondence is described in three categories: Special, Referrals, and White House Bulk Referrals. The CCD maintains the original "Special" and "Referral" correspondence until responses are received from the Action Agency. Upon receipt, CCD attaches the "Special" or "Referral" correspondence to the response and forwards the complete package to the Executive Secretary for his/her completion.

C6.8.1. "Specials" consist of correspondence from the President, Vice President, Assistants to the President for National Security Affairs, and senior White House staff. This is the most important category and concerns issues dealt with at the highest echelons of the government. This correspondence must be processed expeditiously and receives a five (5)-day suspense.

C6.8.2. "Referrals" consist of correspondence from Members of Congress, high-level corporate, prior Government, foreign, high-level organizational leaders, and other prominent individuals addressed to the President or Vice President. This correspondence is forwarded by the White House Staff members direct to the DoD or by the White House Military Office via a tasking sheet that indicates what type of action is desired. A six (6)-day suspense is assigned to these cases with additional guidance provided on the SD Form 14.

C6.8.3. "White House Bulk Referral" correspondence is all other routine correspondence from private citizens addressed to the President or the White House and forwarded to the DoD for response. Bulk referrals receive a ten (10)-day suspense. Copies of all interim and final replies must be forwarded to CCD. When there is a White House assigned control number (W12345) of the CCD tasking sheet, the original correspondence must be returned to CCD with a copy of the final response. Bulk referrals can easily be identified by the cover sheet and the unique control number; i.e., WB12345. Note: The Action Agency is responsible for maintaining a record copy of all White House Bulk Referrals.

C6.8.4. When final replies cannot be provided on time, an "interim reply" should be sent informing the writer of the reason for the delay, the steps being take to obtain the information needed, and the date by which a final reply may be expected. The expected reply date becomes the new suspense date. A copy of interim replies

must be furnished to the CCD.

C6.8.5. Signature Level. Replies to prominent individuals will be prepared for the signature of the Secretary or Deputy Secretary. All other replies to correspondence addressed to the President or other White House officials shall be signed by a flag officer or GS/GM and SES equivalents of the OSD, WHS, Defense Agencies, and Military Departments. A limited number of additional signatory authorities may be nominated by OSD/DoD Component Heads. Nominations should be forwarded to the Executive Secretary. All Presidential mail received in the DoD for Reply Direct should be carefully screened to ensure that, within the limits prescribed, the signature level is appropriate for the correspondent. For example, replies to State and local officials should be signed by a civilian statutory official.

C6.8.6. Draft replies and/or fact sheet replies should be prepared in an original and three copies as follows:

C6.8.6.1. Original cover memorandum from the Action Agency to the Executive Secretary.

C6.8.6.2. Original outgoing memorandum on Office of the Secretary of Defense letterhead addressed to the National Security Advisor to the Vice President, the Deputy Assistant to the President or to the Director, White House Military Office, depending on the source of the request. (Note: These titles may change periodically; check with the CCD, WHLO, Ext. 695-6151.) The memorandum will be signed by the DoD Executive Secretary.

C6.8.6.3. Proposed double-spaced draft reply and/or fact sheet on plain bond paper.

C6.8.7. Replies on Behalf of the President

C6.8.7.1. All Presidential mail received in the DoD for "Reply Direct" should be carefully screened to ensure that, within the limits prescribed, the signature level is appropriate for the correspondent. Replies to correspondence addressed to the President or other White House officials should be signed by a general/flag officer or GS and SES equivalents of the OSD, WHS, Defense Agencies, and Military Departments. For example, replies to State and local officials should be signed by a civilian statutory official.

C6.8.7.2. All replies to correspondence addressed to the President and referred to the DoD for response should include an appropriate acknowledging

statement such as "Thank you for your recent letter to President (name) regarding"

C6.8.7.3. The following is a paragraph the White House considers suitable for use when responding to individuals who have written the President and who have specifically asked that their letters be answered by the President:

"As much as he (or she) would like to, the President cannot reply personally to every communication he (or she) receives. Therefore, he (or she) has asked the departments and agencies of the Federal Government to reply on his (or her) behalf in those instances where they have special knowledge or special authority under the law. For this reason your correspondence was forwarded to the Department of Defense."

C6.9. RESPONSES ON BEHALF OF THE SECRETARY OR DEPUTY SECRETARY OF DEFENSE

C6.9.1. The following standard opening shall be used in correspondence responding to letters on behalf of the Secretary or Deputy: "This is in reply to your letter to Secretary (or Deputy Secretary)_____regarding"

C6.9.2. The statement, "The Secretary (or Deputy Secretary) of Defense has asked that I respond to your letter," will NOT be used in the absence of specific instruction to that effect.

AP1. APPENDIX 1QUICK REFERENCE FOR MEMORANDUMS AND LETTERS

To be Signed by	Memorandum	Letter	Copies and Assembly
SECDEF or DEPSECDEF	<p>Large type (Courier/New Times Roman - 12)</p> <p>Letterhead: SECDEF or DEPSECDEF, as appropriate.</p> <p>Date: leave blank.</p> <p>Address Line: MEMORANDUM FOR (Followed by addressee(s)).</p> <p>Subject: SUBJECT: Capitalize the first letter of all major words-See Note a.</p> <p>Reference(s): include in text, do not list.</p> <p>Paragraphs: indented style; do not justify right margin.</p> <p>Complimentary close: none.</p> <p>Signature block: SECDEF - blank; DEPSECDEF - Name.</p> <p>Attachments: flush with left margin, two lines below last signature element line.</p> <p>Classified by: Note b.</p> <p>Declassify on: Note b.</p> <p>Copies: will be made by CCD after signature.</p>	<p>Large type (Courier/New Times Roman - 12)</p> <p>Letterhead: SECDEF or DEPSECDEF, as appropriate.</p> <p>Date: leave blank.</p> <p>Address line: block style.</p> <p>Salutation: formal followed by colon.</p> <p>Reference(s): include in text, do not list.</p> <p>Paragraphs: indented style; do not justify right margin.</p> <p>Complimentary close: use "Sincerely," beginning approximate center of page.</p> <p>Signature block: SECDEF - blank; DEPSECDEF - Name.</p> <p>Enclosure(s): flush with left margin, two lines below last signature element line.</p> <p>Envelope(s): matching letterhead; one for each addressee.</p> <p>Courtesy copies: will be made by CCD after signature.</p>	<p>ACTION MEMORANDUM</p> <ol style="list-style-type: none"> 1. Action memorandum with signature item and tab. 2. Attachments in sequence referred to in text. 3. Background material. 4. Original incoming correspondence with enclosures, if any. 5. Coordination, tabbed and identified. 6. Original and three complete sets of Items 1-5. 7. Envelope(s), address side up. Address label(s), if classified. 8. Receipts (when signature item is classified). see Note e. 9. Comeback copy, if desires. 10. When applicable, SARAH-Lite disc with paper copy of message and message release form. <p>INFORMATION MEMORANDUM</p> <ol style="list-style-type: none"> 1. Information Memorandum 2. Background material. 3. Original incoming correspondence with enclosures, if any. 4. Original and three complete sets of Items 1-3.

To be Signed by	Memorandum	Letter	Copies and Assembly
OSD/WHs	<p>Letterhead: Office of the Secretary of Defense, DoD/WHs, or organization specific.</p> <p>Date: month, day, year.</p> <p>Address Line: MEMORANDUM FOR (Followed by addressee(s)).</p> <p>Subject: SUBJECT: Capitalize the first letter of all major words - See Note a. below.</p> <p>Reference(s): list (a), (b), (c), etc., block style.</p> <p>Paragraphs: indented style; do not justify right margin.</p> <p>Complimentary close: none.</p> <p>Signature block: block style 4-5 lines below text.</p> <p>Attachments: two lines below last signature element line, flush with left margin.</p> <p>Copies or Distribution: two lines below last attachment or signature element line.</p> <p>Classified by: Note b.</p> <p>Declassify on: Note b.</p>	<p>Letterhead: Office of the Secretary of Defense, DoD-WHs, or organization specific.</p> <p>Date: month, day, year.</p> <p>Salutation: formal followed by colon; informal followed by comma.</p> <p>Reference(s): include in text, do not list.</p> <p>Paragraphs: indented style; do not justify right margin.</p> <p>Complimentary close: as desired followed by comma, beginning approximate center of page.</p> <p>Signature element: block style 4-5 lines below complimentary close.</p> <p>Enclosure(s): two lines below last signature element line. flush with left margin.</p> <p>Copies: two lines below last enclosure or signature element line.</p>	<p>Outgoing</p> <ol style="list-style-type: none"> 1. Original. 2. Courtesy copies, if any. 3. Attachment(s)/ Enclosure(s), as appropriate, in sequence listed or referred to. 4. Envelope(s), or label(s), if required <p>Information</p> <p>Same as above.</p> <p>File Copy</p> <ol style="list-style-type: none"> 1. Official file copy. 2. Attachment(s)/ Enclosure(s), if any. 3. Incoming correspondence, if any. 4. Material basic to outgoing correspondence. 5. Other offices copies.

Notes:

- a. Type a "-" followed by ACTION MEMORANDUM or INFORMATION MEMORANDUM, as appropriate, when memorandum is addressed to SECDEF or DEPSECDEF.
- b. See Chapter 4, Paragraph C4.17 for classification guidance.
- c. Use paper clips. No staples or pins.
- d. CCD will make copies of signature material for distribution after signature.
- e. Each addressee in a classified multi-memorandum requires a receipt.

AP2. APPENDIX 2TWO-LETTER STATE AND PROVINCE POSTAL ABBREVIATIONS WITH
PREFERRED TEXT FORMSUNITED STATES

	<u>USPS</u>	<u>Text</u>		<u>USPS</u>	<u>Text</u>
Alabama	AL	Ala.	Nevada	NV	Nev.
Alaska	AK	Alaska	New Hampshire	NH	N.H.
Arizona	AZ	Ariz.	New Jersey	NJ	N.J.
Arkansas	AR	Ark.	New Mexico	NM	N. Mex.
California	CA	Calif.	New York	NY	N.Y.
Colorado	CO	Colo.	North Carolina	NC	N.C.
Connecticut	CT	Conn.	North Dakota	ND	N. Dak.
Delaware	DE	Del.	Ohio	OH	Ohio
Florida	FL	Fla.	Oklahoma	OK	Okla.
Georgia	GA	Ga.	Oregon	OR	Oreg.
Hawaii	HI	Hawaii	Pennsylvania	PA	Pa.
Idaho	ID	Idaho	Rhode Island	RI	R.I.
Illinois	IL	Ill.	South Carolina	SC	S.C.
Indiana	IN	Ind.	South Dakota	SD	S. Dak.
Iowa	IA	Iowa	Tennessee	TN	Tenn.
Kansas	KS	Kans.	Texas	TX	Tex.
Kentucky	KY	Ky.	Utah	UT	Utah
Louisiana	LA	La.	Vermont	VT	Vt.
Maine	ME	Maine	Virginia	VA	Va.
Maryland	MD	Md.	Washington	WA	Wash.
Massachusetts	MA	Mass.	West Virginia	WV	W. Va.
Michigan	MI	Mich.	Wisconsin	WI	Wisc.
Minnesota	MN	Minn.	Wyoming	WY	Wyo.
Mississippi	MS	Miss.	Canal Zone	CZ	C.Z.
Missouri	MO	Mo.	District of Columbia	DC	D.C.
Montana	MT	Mont.	Guam	GU	Guam
Nebraska	NE	Nebr.	Virgin Islands	VI	V.I.

CANADA

	<u>USPS</u>	<u>Text</u>		<u>USPS</u>	<u>Text</u>
Alberta	AB	Alta.	Ontario	ON	Ont.
British Columbia	BC	B.C.	Prince Edward Island	PE	P.E.I.
Manitoba	MB	Man.	Quebec	PQ	Que.
New Brunswick	NB	N.B.	Saskatchewan	SK	Sask.
Newfoundland	NF	Nfd.	Yukon Territory	YT	Yuk. T.
Northwest Territories	NT	N.W.T.	Labrador	LB	Lan.

DIRECTIONAL ABBREVIATIONS

North	N	Northeast	NE
East	E	Southeast	SE
South	S	Southwest	SW
West	W	Northwest	NW

UNITED STATES TERRITORIES

	<u>USPS</u>
American Samoa	AS
Federated States of Micronesia	FM
Marshall Islands	MH
Northern Mariana Islands	MP
Palau	PW

AP3. APPENDIX 3MILITARY RANKS AND ABBREVIATIONS BY SERVICE AND PAY GRADE

<u>Pay Grade</u>	<u>Army</u>		<u>Navy</u>	
O-10	General	GEN	Admiral	ADM
O-9	Lieutenant General	LTG	Vice Admiral	VADM
O-8	Major General	MG	Rear Admiral	RADM
O-7	Brigadier General	BG	Rear Admiral	RADM ¹
O-6	Colonel	COL	Captain	CAPT
O-5	Lieutenant Colonel	LTC	Commander	CDR
O-4	Major	MAJ	Lieutenant Commander	LCDR
O-3	Captain	CPT	Lieutenant	LT
O-2	First Lieutenant	1LT	Lieutenant Junior Grade	LTjg
O-1	Second Lieutenant	2LT	Ensign	ENS
W-5	Chief Warrant Officer	CW5 ²	Chief Warrant Officer 4	CWO4
W-4	Chief Warrant Officer 4	CW4	Chief Warrant Officer 3	CWO3
W-3	Chief Warrant Officer 3	CW3	Chief Warrant Officer 2	CWO2
W-2	Chief Warrant Officer 2	CW2	Warrant Officer	WO1
W-1	Warrant Officer 1	WO1		
E-9	Sergeant Major of the Army	SMA	Master Chief Petty Officer of the Navy	MCPON
	Command Sergeant Major	CSM		
	Sergeant Major	SGM	Master Chief Petty Officer	MCPO
E-8	First Sergeant	1SG	Senior Chief Petty Officer	SCPO
	Master Sergeant	MSG		
E-7	Platoon Sergeant	PSG	Chief Petty Officer	CPO
	Sergeant First Class	SFC	Senior Chief Petty Officer	SCPO
E-6	Staff Sergeant	SSG	Petty Officer 1	PO1
E-5	Sergeant	SGT	Petty Officer 2	PO2
E-4	Corporal	CPL	Petty Officer 3	PO3
	Specialist	SPC		
E-3	Private First Class	PFC	Seaman	SN
E-2	Private	PV2	Seaman Apprentice	SA
E-1	Private	PVT	Seaman Recruit	SR

¹ The Navy Rear Admiral rank contains two levels: upper half equal to a two-star flag officer and lower half equal to a one-star flag officer. The rank of Commodore was a commissioned one-star rank during time of war. The commander of a fleet of ships is sometimes referred to as "Commodore" as a courtesy title. The rank no longer exists and the title is never officially used.

² The Army used Master Warrant Officer at one time; "Master" now indicates a transitional rank; all Army Warrant Officers are Chief Warrant Officers.

<u>Pay Grade</u>	<u>Marine Corps</u>		<u>Air Force</u>	
O-10	General	Gen	General	Gen
O-9	Lieutenant General	LtGen	Lieutenant General	Lt Gen
O-8	Major General	MajGen	Major General	Maj Gen
O-7	Brigadier General	BGen	Brigadier General	Brig Gen
O-6	Colonel	Col	Colonel	Col
O-5	Lieutenant Colonel	LtCol	Lieutenant Colonel	Lt Col
O-4	Major	Maj	Major	Maj
O-3	Captain	Capt	Captain	Capt
O-2	First Lieutenant	1st Lt	First Lieutenant	1st Lt
O-1	Second Lieutenant	2nd Lt	Second Lieutenant	2d Lt
W-5	Chief Warrant Officer 5	CWO-5		
W-4	Chief Warrant Officer 4	CWO-4		
W-3	Chief Warrant Officer 3	CWO-3		
W-2	Chief Warrant Officer 2	CWO-2		
W-1	Warrant Officer 1	CWO-1		
E-9	Sergeant Major of the Marine Corps	SgtMajMC	Chief Master Sergeant of the Air Force	CMSAF
	Sergeant Major	Sgt Maj	Chief Master Sergeant	CMSgt
	Master Gunnery Sergeant	MGySgt		
E-8	First Sergeant	1stSgt	Senior Master Sergeant	SMSgt
	Master Sergeant	MSgt		
E-7	Gunnery Sergeant	GySgt	Master Sergeant	MSgt
E-6	Staff Sergeant	SSgt	Technical Sergeant	TSgt
E-5	Sergeant	Sgt	Staff Sergeant	SSgt
E-4	Corporal	Cpl	Sergeant/Senior Airman	Sgt/SrA
E-3	Lance Corporal	LCpl	Airman First Class	A1C
E-2	Private First Class	PFC	Airman	Amn
E-1	Private	Pvt	Airman Basic	AB

AP4. APPENDIX 4

ABBREVIATIONS AND TERMS

AP4.1.1. The following is a listing of common abbreviations utilized within the OSD community. It is not all inclusive but is meant to be a reference.

AFIS—American Forces Information Service

AFPC—Armed Forces Policy Council

ARPA—Advanced Research Projects Agency

ATSDs—Assistants to the Secretary of Defense

ATSD(IO)—Assistant to the Secretary of Defense (Intelligence Oversight)

ATSD(NCB)—Assistant to the Secretary of Defense (Nuclear and Chemical and Biological Defense Programs)

ATSD(PA)—Assistant to the Secretary of Defense (Public Affairs)

ASD(C3I)—Assistant Secretary of Defense (Command, Control, Communications and Intelligence)

ASD(ES)—Assistant Secretary of Defense (Economic Security)

ASD(FMP)—Assistant Secretary of Defense (Force Management Policy)

ASD(HA)—Assistant Secretary of Defense (Health Affairs)

ASD(ISA)—Assistant Secretary of Defense (International Security Affairs)

ASD(ISP)—Assistant Secretary of Defense (International Security Policy)

ASD(LA)—Assistant Secretary of Defense (Legislative Affairs)

ASD(RA)—Assistant Secretary of Defense (Reserve Affairs)

ASD(SOL)—Assistant Secretary of Defense (Special Operations and Low-Intensity Conflict)

ASD(S&R)—Assistant Secretary of Defense (Strategy and Resources)

BMDO—Ballistic Missile Defense Organization

CIO—Central Imagery Office

DCAA—Defense Contract Audit Agency

DCM—Defense Commissary Agency

DFAS—Defense Finance and Accounting Service

DJS—Director, Joint Staff

DIA—Defense Intelligence Agency

DIS—Defense Investigative Service

DISA—Defense Information Systems Agency

DLA—Defense Logistics Agency
 DLSA—Defense Legal Services Agency
 DMA—Defense Mapping Agency
 DMSSC—Defense Medical Systems Support Center
 DNA—Defense Nuclear Agency
 DPB—Defense Policy Board
 DoD—Department of Defense
 DoDEA—Department of Defense Education Activity
 DA&M, OSD—Director of Administration and Management, Office of the Secretary of Defense
 DDR&E—Director, Defense Research & Engineering
 DOT&E—Director, Operational Test and Evaluation
 DSAA—Defense Security Assistance Agency
 DTSA—Defense Technology Security Administration
 ES—Executive Secretary of the Department of Defense
 GC,DoD—General Counsel of the Department of Defense
 IG,DoD—Inspector General of the Department of Defense
 JCS—Joint Chiefs of Staff
 NRO—National Reconnaissance Office
 NSA—National Security Agency
 NSC—National Security Council
 OCHAMPUS—Office of Civilian Health and Medical Program of the Uniformed Services
 OEA—Office of Economic Adjustment
 OSADBU—Office of Small and Disadvantaged Business Utilization
 OSD—Office of the Secretary of Defense
 OSIA—On-Site Inspection Agency
 OT&E—Director, Operational Test and Evaluation
 PA&E—Director, Program Analysis and Evaluation
 POW/MIA—Prisoner of War/Missing in Action Office
 USA—United States Army
 USAF—United States Air Force
 USD(A&T)—Under Secretary of Defense for Acquisition and Technology
 USD(C)—Under Secretary of Defense (Comptroller)
 USD(P)—Under Secretary of Defense for Policy

USN—United States Navy

USMC—United States Marine Corps

WHS—Washington Headquarters Services

AP4.2.1. The following is a listing of action assignment codes utilized on the Correspondence Control Division (CCD) suspense reports.

ADN—Answer Deputy Secretary of Defense Note

AMN—Answer Military Assistant Note

ASN—Answer Secretary of Defense Note

C&R—Comments and Recommendation

FAA—For Appropriate Action

I&R—Information and Retention

IR—Interim Reply

PDP—Prepare Draft for President

PDV—Prepare Draft for Vice President

PDW—Prepare Draft for White House

PRD—Prepare Reply for Deputy Secretary of Defense Signature

PRS—Prepare Reply for Secretary of Defense Signature

RD—Reply Direct

AP4.3.1. The following is a listing of terms used within this Instruction.

ACTION MEMORANDUM—Involves either signature or approval by an OSD principal.

Bulk Referrals—Private citizen mail addressed to the White House that is forwarded to the CCD for DoD response.

"Clock"—The time on the suspense date beginning the first work day after the date and time stamped on the document by the CCD.

INFORMATION MEMORANDUM—Used to provide factual data not requiring signature or action with this Instruction.

OSD Components—Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Unified Combatant Commands, the Defense Agencies and activities administratively supported by the OSD.

OSD Principals—The Under Secretaries of Defense (USDs), the Assistant Secretaries of Defense (ASDs), the General Counsel of the Department of Defense (GC, DoD), and the Assistants to the Secretary of Defense (ATSDs).

SD Form 14—Secretary of Defense Routing Slip

SD Form 120—Receipt for Classified Material

SD Form 391—Report on Secretary of Defense Correspondence

AP5. APPENDIX 5

FORMS OF ADDRESS SALUTATION AND COMPLIMENTARY CLOSE

AP5.1.1. INTRODUCTION

In salutation to persons in positions that may be held by men or women, only the title "Mr." is shown in the examples given here. When a woman occupies the position, the title "Madam" is substituted for "Mr." before such formal terms as "President," "Vice President," "Chairman," "Secretary," "Ambassador," and "Minister." The title "Miss" or "Mrs." is substituted for "Mr." when the surname rather than a formal title follows. The title "Ms." may be substituted for "Miss" or "Mrs." when an incumbent or correspondent has indicated this preference or when her marital status is unknown.

AP5.1.2. THE WHITE HOUSE

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
The President	The President The White House Washington DC 20500	Dear Mr. President: Respectfully yours,
Wife of the President	Mrs. (full name) The White House Washington DC 20500	Dear Mrs. (surname): Sincerely,
Assistant to the President	Honorable (full name) Assistant to the President The White House Washington DC 20500	Dear Mr. (surname) Sincerely,
Secretary to the President	Honorable (full name) Secretary to the President The White House Washington DC 20500	Dear Mr. (surname): Sincerely,
Secretary to the President (with military rank)	(Full rank) (full name) Secretary to the President The White House Washington DC 20500	Dear (rank) (surname) Sincerely,

The Vice President	The Vice President The White House Washington DC 20500	Dear Mr. Vice President: Sincerely,
The President of the Senate	Honorable (full name) President of the Senate Washington DC 20510	Dear Mr. President: Sincerely,

AP5.1.3. THE FEDERAL JUDICIARY

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
The Chief Justice	The Chief Justice of the United States The Supreme Court of the United States Washington DC 20543	Dear Chief Justice (surname): Sincerely,
Honorable (full name) Associate Justice	Associate Justice The Supreme Court of the United States Washington DC 20543	Dear Justice (surname): Sincerely,
Retired Justice	Honorable (full name) (Local address)	Dear Justice (surname): Sincerely,
Presiding Justice	Honorable (full name) Presiding Justice (Name of Court) (Local Address)	Dear Justice (surname): Sincerely,
Judge of a Court	Honorable (full name) Judge of the (name of the court; of a U.S. district court, give district) (Local address)	Dear Judge (surname): Sincerely,
Clerk of a Court	Mr. (full name) Clerk of the (name of the court; of a U.S. district court, give district) (Local Address)	Dear Mr. (surname): Sincerely,

AP5.1.4. THE CONGRESS*

*Each member of Congress has his/her own Zip+4 code. They may be found in the Congressional Staffing Directory.

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
President pro Tempore of the Senate	Honorable (full name) President pro Tempore of the Senate United States Senate Washington DC 20510	Dear Senator (surname): Sincerely,
Committee Chairman, U.S. Senate	Honorable (full name) Chairman, Committee on (name of committee) United States Senate Washington DC 20510	Dear Mr. Chairman: Sincerely,
Committee Chairwoman, U.S. Senate	Honorable (full name) Chairwoman, Committee on (name of committee) United States Senate Washington DC 20510	Dear Madam Chairwoman: Sincerely,
Subcommittee Chairman, U.S. Senate	Honorable (full name) Chairman, Subcommittee on (name of committee) (Name of parent committee) United States Senate Washington DC 20510	Dear Senator (surname): Sincerely, or Dear Mr. Chairman: Sincerely, (when incoming correspondence is so signed and pertains to subcommittee business)
Senator (Washington, DC office)	Honorable (full name) United States Senate Washington DC 20510	Dear Senator (surname): Sincerely,
(Away from Washington, DC)	Honorable (full name) United States Senate (Local address)	Dear Senator (surname): Sincerely,

Senator-elect	Honorable (full name) United States Senator-elect United States Senate Washington DC 20510	Dear Mr. (surname): Sincerely,
Office of a deceased Senator	Mr. (Secretary's full name, if known) Secretary to the Late honorable (full name) United States Senate Washington DC 20510	Dear Mr. (surname): Sincerely,
Speaker of the House of Representatives	Honorable (full name) Speaker of the House of Representatives Washington DC 20515	Dear Mr. Speaker: Sincerely,
Committee Chairman, House of Representatives	Honorable (full name) Chairman, Committee on (name of committee) House of Representatives Washington DC 20510	Dear Mr. Chairman: Sincerely,
Subcommittee Chairman, House of Representatives	Honorable (full name) Chairman, Subcommittee on (name of committee) (name of parent committee) House of Representatives Washington DC 20510	¹ Dear Congressman (surname): Sincerely, or Dear Mr. Chairman: Sincerely, (when incoming correspondence is so signed and pertains to subcommittee business)
Representative (Washington, DC office)	Honorable (full name) House of Representatives Washington DC 20510	¹ Dear Congressman (surname): Sincerely,
(Away from Washington, DC)	Honorable (full name) House of Representatives (Local address)	¹ Dear Congressman: Member United States (surname): Sincerely,
Representative-elect	Honorable (full name) Representative-elect House of Representatives Washington DC 20515	Dear Mr. (surname): Sincerely,

Office of a deceased Congressman	Mr./Ms. (Secretary's full name, if known) Secretary to the Late Honorable (full name) House of Representatives Washington DC 20515	Dear Mr./Ms. (surname): Sincerely, (If name if unknown, use Dear Sir:)
Resident Commissioner	Honorable (full name) Resident Commissioner from (name of area) House of Representatives Washington DC 20515	Dear Mr. (surname): Sincerely,
Delegate of the District of Columbia	Honorable (full name) House of Representatives Washington DC 20515	Dear Mr. (surname): Sincerely,

¹ For the Clinton Administration the White House has elected to use "Representative" versus Congressman/Congresswoman. It is not incorrect you choose to use that form of address.

AP5.1.5. LEGISLATIVE AGENCIES

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Comptroller General (Head of the General Accounting Office)	Honorable (full name) Comptroller General of the United States Washington, DC 20548	Dear Mr. (surname): Sincerely,
Public Printer (head of the U.S. Government Printing Office)	Honorable (full name) Public Printer U.S. Government Printing Office Washington DC 20401	Dear Mr. (surname): Sincerely,
Librarian of Congress	Honorable (full name) Librarian of Congress Washington DC 20540	Dear Mr. (surname): Sincerely,

AP5.1.6. EXECUTIVE DEPARTMENTS*

*Executive Department ZIP+4 Codes may be found in the current edition of the Federal Yellow Book.

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Members of the Cabinet addressed as Secretary	Honorable (full name) Secretary of (name of Department) ¹ Washington DC (ZIP+4 Code)	Dear Mr. Secretary: Sincerely,
Attorney General (Head of the Department of Justice)	Honorable (full name) Attorney General Washington DC (ZIP+4 Code)	Dear Mr. Attorney General: Sincerely,
Under Secretary of a Department	Honorable (full name) Under Secretary of (name of Department) Washington DC (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Deputy Secretary of a Department	Honorable (full name) Deputy Secretary of (name of Department) Washington DC (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Assistant Secretary of a Department	Honorable (full name) Assistant Secretary of (name of Department) Washington DC (ZIP+4 Code)	Dear Mr. (surname): Sincerely,

¹ Titles for Cabinet Secretaries are: Secretary of Agriculture, Secretary of Commerce, Secretary of Defense, Secretary of Education, Secretary of Energy, Secretary of Health and Human Services, Secretary of Housing and Urban Development, Secretary of the Interior, Secretary of Labor, Secretary of State, Secretary of Transportation, Secretary of the Treasury, and Secretary of Veterans Affairs.

AP5.1.7. MILITARY DEPARTMENTS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
The Secretaries of the Military Departments	Honorable (full name) Secretary of (Department) Washington DC (ZIP+4 Code)	Dear Mr. Secretary: Sincerely,
Under Secretary of a Department	Honorable (full name) Under Secretary of (Department) Washington DC (ZIP+4 Code)	Dear Mr. (surname): Sincerely,

AP5.1.8. MILITARY PERSONNELAP5.1.8.1. Army, Air Force, and Marine Corps Officers

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
General, Lieutenant General, Major General, Brigadier General	(full rank)(full name) (abbreviation of service designation) (Local address)	Dear General (surname): Sincerely,
Colonel, Lieutenant Colonel	(same as above)	Dear Colonel (surname): Sincerely,
Major	(same as above)	Dear Major (surname): Sincerely,
Captain	(same as above)	Dear Captain (surname): Sincerely,
First Lieutenant, Second Lieutenant	(same as above)	Dear Lieutenant (surname): Sincerely,
Chief Warrant Officer	(same as above)	Dear Mr. (Miss) (Mrs.) (surname): Sincerely,

AP5.1.8.2. Navy Officers

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Admiral, Vice Admiral, Rear Admiral	(Full rank) (full name) (abbreviation of Service designation) Local address)	Dear Admiral (surname): Sincerely,
Captain	(same as above)	Dear Captain (surname): Sincerely,
Commander	(same as above)	Dear Commander (surname): Sincerely,

Lieutenant Commander	(same as above)	Dear Commander (surname): Sincerely,
Lieutenant	(same as above)	Dear Lieutenant (surname): Sincerely,
Lieutenant (Junior Grade)	(same as above)	Dear Lieutenant (Junior Grade) (surname): Sincerely,
Ensign	(same as above)	Dear Ensign (surname): Sincerely,
Chief Warrant Officer (Number)	(same as above)	Dear Chief Warrant Officer (surname): Sincerely,
Warrant Officer	(same as above)	Dear Warrant Officer (surname): Sincerely,

AP5.1.8.3. Academy Members

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Cadet, Midshipman, Air Cadet	Cadet (Midshipman) (Air Cadet) (full name)	Dear Cadet (Midshipman) (Air Cadet) (surname): (Local address) Sincerely,

AP5.1.8.4. Army Enlisted Personnel

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Sergeant Major of the Army, Command Sergeant Major, Sergeant Major	((Full rank) (full name) (Local address)	Dear Sergeant Major (surname): Sincerely,
First Sergeant	(same as above)	Dear First Sergeant (surname): Sincerely,
Major Sergeant, Platoon Sergeant, Sergeant First Class, Staff Sergeant, Sergeant	(same as above)	Dear Sergeant (surname): Sincerely,

Corporal	(same as above)	Dear Corporal (surname): Sincerely,
Specialists (all grades)	(same as above)	Dear Specialist (surname): Sincerely,
Private First Class	(same as above)	Dear Private (surname): Sincerely,

AP5.1.8.5. Navy Enlisted Personnel

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Master Chief Petty Officer of the Navy	(Full rank) (Full name) (Local address)	Dear Master Chief Petty Officer (surname): Sincerely,
Senior Petty Officer	(same as above)	Dear Senior Chief Petty Officer (surname): Sincerely,
Chief Petty Officer	(same as above)	Dear Petty Officer (surname): Sincerely,
Petty Officer First Class, Second Class, Third Class	(same as above)	Dear Petty Officer (surname): Sincerely,
Seaman, Apprentice Seaman, Seaman Recruit	(same as above)	Dear Seaman (surname): Sincerely,
Fireman, Fireman Apprentice, Fireman Recruit	(same as above)	Dear Fireman (surname): Sincerely,
Airman, Airman Apprentice, Airman Recruit	(same as above)	Dear Airman (surname): Sincerely,

AP5.1.8.6. Marine Corps Enlisted Personnel

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Sergeant Major of the Marine Corps, Sergeant Major	(Full rank) (full name) (Local address)	Dear Sergeant Major (surname): Sincerely,
Master Gunnery Sergeant, First Sergeant, Gunnery Sergeant, Staff Sergeant, Sergeant	(same as above)	Dear Sergeant (surname): Sincerely,
Corporal, Lance Corporal	(same as above)	Dear Corporal (surname): Sincerely,
Private First Class, Private	(same as above)	Dear Private (surname): Sincerely,

AP5.1.8.7. Air Force Enlisted Personnel

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Chief Master Sergeant of the Air Force, Senior Master Sergeant, Master Sergeant, Technical Sergeant, Staff Sergeant, Sergeant	(Full rank) (full name) (Local address)	Dear Sergeant (surname): Sincerely,
Airman First Class, Airman, Basic Airman	(same as above)	Dear Airman (surname): Sincerely,

AP5.1.8.8. Retired Military Personnel

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
All retired Military Personnel	(Rank) (full name), (abbreviated service designation) (Ret) (Local address)	Dear (rank) (surname): Sincerely,

AP5.1.8.9. INDEPENDENT AGENCIES

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Director, Office of Management and Budget	(Honorable (full name) Director, Office of Management and Budget Washington DC 20503	Dear Mr. (surname): Sincerely,
Head of a Federal Agency, Authority, or Board	Honorable (full name) (title), (agency) Washington DC (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
President of a Commission	(Honorable (full name) President (name of commission) Washington DC (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Chairman of a Commission	Honorable (full name) President (name of commission) Washington DC (ZIP+4 Code)	Dear Mr. Chairman: Sincerely,
Chairman of a Board	Honorable (full name) (Local address)	Dear Mr. Chairman: Sincerely,
Postmaster General	Honorable (full name) Postmaster General Washington DC 20260	Dear Mr. Postmaster General: Sincerely,

AP5.1.10. AMERICAN MISSIONS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
American Ambassador	Honorable (full name) American Embassy (City) (Country)	Sir: (formal) Dear Mr. Ambassador: (informal) Sincerely,
American Ambassador (with military rank)	(full rank) (full name) American Ambassador	Sir: (formal) Dear (rank) (surname): (informal) Sincerely,
American Minister	Honorable (full name) American Minister	Sir: (formal) Dear Mr. Minister: (informal) Sincerely,

AP5.1.11. FOREIGN GOVERNMENT OFFICIALS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
American Minister (with military rank)	(full rank) (full name) American Minister	Sir: (formal) Dear (rank) (surname): (informal) Sincerely,
Foreign Ambassador in the United States	His Excellency (full name) Ambassador of (country) Chairman, (name of board) Washington DC (ZIP+4 Code)	Excellency: (formal) Dear Mr. Ambassador: (informal) Sincerely,
Foreign Minister in the United States	Honorable (full name) Minister of (country) (Local address)	Sir: (formal) Dear Mr. Ambassador: (informal) Sincerely,
Foreign Charge d'Affaires in the United States	Mr. (full name) Charge d'Affaires of (country) (Local address)	Sir: (formal) Dear Mr. Charge d'Affaires: (informal) Sincerely,
Foreign Royalty with Ambassadorial or Defense Titles	His Royal Highness Prince (name) Ambassador of (country) (Local address)	Your Royal Highness: (formal) Dear Prince (name): (informal) Sincerely,

AP5.1.12. THE ORGANIZATION OF AMERICAN STATES

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Secretary General of the Organization of American States	Honorable (full name) Secretary General of the Organization of American States Pan American Union Washington DC 20006	Sir: (formal) Dear Mr. Secretary General: or Dear Mr. (Dr.) (surname): (informal) Sincerely,
Assistant Secretary General of the Organization of American States	Honorable (full name) Assistant Secretary General of the Organization of American States Pan American Union Washington DC 20006	Sir: (formal) Dear Mr. (Dr.) (surname): (informal) Sincerely,

United States Representative on the Council of the Organization of American States	Honorable (full name) United States Representative on the Council of the Organization of American States Pan American Union Washington DC 20520	Sir: (formal) Dear Mr. (Dr.) (surname): (informal) Sincerely,
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AP5.1.13. UNITED NATIONS

Communications to the United Nations are addressed to the United States Representative to the United Nations, through the Department of State. Exceptions that are sent to the United States Representative include: those intended for the Economic and Social Council, the Disarmament Commission, the Trusteeship Council, and the delegation to the General Assembly (when in session). Direct communication with the United Nations is inappropriate unless exceptions arise. Where it is necessary, the communication should be sent to the Secretary General of the United Nations through the United States Representative by means of a covering letter.

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Secretary General of the United Nations	His Excellency (full name) Secretary General of the United Nations New York NY 10016	Sir: (formal) Dear Mr. Secretary General: (informal) Sincerely,
United States Representative to the United Nations	Honorable (full name) United States Representative to the United Nations United Nations New York NY 10016	Sir: (formal) Dear Mr. (surname): (informal) Sincerely,
Chairman, United States Delegation to the United Nations Military Staff Committee	Honorable (full name) Chairman, United States Delegation to the United Nations Military Staff Committee New York NY 10016	Sir: (formal) Dear Mr. (surname): (informal) Sincerely,
Senior Military Adviser to the United States	(full rank) (full name) Senior Military Adviser to the United Nation Delegation to the United Nations General Assembly New York NY 10016	Dear (Rank) (Surname): Sincerely,

United States Representative to the Economic and Social Council of the United Nations	Honorable (full name) United States Representative to the Economic and Social Council of the United Nations New York NY 10016	Sir: (formal) Dear Mr. (surname): (informal) Sincerely,
United States Representative to the United Nations Disarmament Commission	Honorable (full name) United States Representative to the Disarmament Commission of the United Nations New York NY 10016	Sir: (formal) Dear Mr. (surname): (informal) Sincerely,
United States Representative to the Trusteeship Council Of the United Nations	Honorable (full name) United States Representative to the Trusteeship Council of the United Nations New York NY 10016	Sir: (formal) Dear Mr. (surname): (informal) Sincerely,

AP5.1.14. STATE AND LOCAL GOVERNMENTS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Governor of a State	Honorable (full name) Governor of (state) (City) (State) (ZIP+4 Code)	Dear Governor (surname): Sincerely,
Acting Governor of a State	Honorable (full name) Acting Governor of (state) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Lieutenant Governor of a State	Honorable (full name) Lieutenant Governor of (state) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Secretary of State of a State	Honorable (full name) Secretary of State of (state) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Chief Justice of the Supreme Court of a State	Honorable (full name) Chief Justice of the Supreme Court of the State of (state) (City) (State) (ZIP+4 Code)	Dear Mr. Chief Justice: Sincerely,

Attorney General of a State	Honorable (full name) Attorney General of the State of (state) (City) (State) (ZIP+4 Code)	Dear Mr. Attorney General: Sincerely,
Treasurer, Comptroller or Auditor of a State	Honorable (full name) State Treasurer (Comptroller) (Auditor) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
President of the Senate of a State	Honorable (full name) President of the Senate of the State of (state) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
State Senator	Honorable (full name) (state) Senate (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Speaker of the House of Representative or the Assembly or the House of Delegates ¹	Honorable (full name) Speaker of the House of Representatives (Assembly) (House of Delegates) of the State of (state) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
State Representative, Assemblyman, or Delegate	Honorable (full name) (state) House of Representatives, Assembly, or House of Delegates (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,
Mayor	Honorable (full name) Mayor of (City) (City) (State) (ZIP+4 Code)	Dear Mayor (surname): Sincerely,
President of a Board of Commissioners	Honorable (full name) President, Board of Commissioners of (City) (City) (State) (ZIP+4 Code)	Dear Mr. (surname): Sincerely,

¹ In most states the lower branch of the legislature is the House of Representatives. In some states, such as California and New York the lower house is known as the Assembly. In others, such as Maryland, Virginia, and West Virginia it is known as the House of Delegates. Nebraska has a one-house legislature; its members are classed as senators.

AP5.1.15. ECCLESIASTICAL ORGANIZATIONS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Archbishop (Roman Catholic)	The Most Reverend (full name) Archbishop of (place) (Local address)	Your Excellency: (formal) Dear Archbishop (surname): (informal) Sincerely,

Archdeacon (Episcopal)	The Venerable (full name) Archdeacon of (place) (Local address)	Venerable Sir: (formal) Dear Archdeacon (surname): (informal) Sincerely,
Bishop (Episcopal)	The Right Reverend ¹ (full name) Bishop of (city) (Local address)	Right Reverend Sir: (formal) Dear Bishop (surname): (informal) Sincerely,
Bishop (Methodist)	The Reverend (full name) Methodist Bishop (Local address)	Reverend Sir: (formal) Dear Bishop (surname): (informal) Sincerely,
Bishop (Mormon)	Bishop (full name) Church of Jesus Christ of Latter-Day Saints (Local address)	Sir: (formal) Dear Bishop (surname): (informal) Sincerely,
Bishop (Roman Catholic)	The Most Reverend (full name) Bishop of (place) (Local address)	Your Excellency: (formal) Dear Bishop (surname): (informal) Sincerely,
Brother (Roman Catholic)	Brother (full name) (Name of organization) (Local address)	Dear Brother (given name): Sincerely,
Cardinal (Roman Catholic)	His Eminence (Christian name) Cardinal (surname) (Local address)	Your Eminence: (formal) Dear Cardinal (surname): (informal) Sincerely,
<u>Chaplains (Military Service)</u>		
Army	Chaplain (rank in parenthesis) (full name), USA	Dear Chaplain (surname): Sincerely,
Navy	Rank (full name) CHC, USN	Dear Chaplain (surname): Sincerely,
Air Force	Chaplain, rank, full name, USAF	Dear Chaplain (surname): Sincerely,
Dean (Episcopal)	The Very Reverend (full name), (initials of degrees) Dean of (church) (Local address)	Very Reverend Sir: (formal) Dear Dean (surname): (informal) Sincerely,

Minister, Pastor, or Rector (Protestant) (with doctoral degree)	The Reverend (full name), (initials of degrees) (Local address)	Dear Dr. (surname): Sincerely,
Minister, Pastor, or Rector (Protestant) (without doctoral degree)	The Reverend (full name) (Local address)	Dear Mr. (surname): Sincerely,
Monsignor (Roman Catholic)	The Reverend Monsignor (full name) (Local address)	Reverend Monsignor: (formal) Dear Monsignor (surname): (informal) Sincerely,
Mother Superior of an Institution (Roman Catholic)	Mother (name) (initials of order, if used) Superior, (name of institution) (Local address)	Dear Mother (name): Sincerely,
Priest (Roman Catholic)	The Reverend (full name) (initials of order, if any) (Local address)	Reverend Sir: (formal) Dear Father (surname): (informal) Sincerely,
Rabbi (with doctoral degree)	Rabbi (full name) (initials of degrees) (Local address)	Dear Dr. (surname): or Dear Rabbi (surname): Sincerely,
Rabbi (without doctoral degree)	Rabbi (full name) (Local address)	Dear Rabbi (surname): (informal) Sincerely,
Sister (Roman Catholic)	Sister (full name) (initials of order, if used) (Name of organization) (Local address)	Dear Sister (full name): Sincerely,

¹ The Presiding Bishop is addressed as the Most Reverend.

AP5.1.16. CORPORATIONS, COMPANIES, AND FEDERATIONS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Company or corporation	(Name of company or corporation) (Local address)	Gentleman (or Sirs): Sincerely,
Federation	(Name of official) (Title), (name of federation) (Local Address)	Dear Mr. (surname): Sincerely,

AP5.1.17. PRIVATE CITIZENS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
President of a university or college (with doctoral degree)	Dr. (full name) President, (name of institution) (Local address)	Dear Dr. (surname): Sincerely,
President of a university or college (without doctoral degree)	Mr. (full name) President, (name of institution) (Local address)	Dear Mr. (surname): Sincerely,
Dean of a school (with doctoral degree)	Dr. (full name) Dean, School of (name), (Name of institution) (Local Address)	Dear Dr. (surname): Sincerely,
Dean of a school (without doctoral degree)	Mr. (full name) Dean, School of (name), (Name of institution) (Local Address)	Dear Professor (surname): Sincerely,
Dr. or Professor (with doctoral)	Dear Dr. (surname): or Professor (full name) Department (of name) (Name of institution) (Local Address)	Dear Professor (surname): Sincerely,
Associate Professor or Assistant Professor	Mr. (full name) Associate (or Assistant Professor) Department of (name) (Name of institution) (Local Address)	Dear Professor (surname): Sincerely,
Physician	(Full name), M.D. (Local Address)	Dear Dr. (surname): Sincerely,
Lawyer	Mr. (full name), Attorney at Law (Local Address)	Dear Mr. (surname): Sincerely,

One individual	Mr. (full name) ¹ Mrs. (full name) ² Miss. (full name) ² Ms. (full name) ¹	Dear Mr. (surname): Dear Mrs. (surname): Dear Miss. (surname): Dear Ms. (surname): Sincerely,
Two individuals	Mr. and Mrs. (full name) Mr. (full name) and Mr. (full name) Mrs. (full name) and Miss (full name) Mrs. (full name) and Mr. (full name)	Dear Mr. and Mrs. (surname): Dear Mr. (surname) and Mr. (surname): Dear Mrs. (surname) and Miss (surname): Dear Mrs. (surname) and Mr. (surname): Sincerely,
Three or four individuals ³	Messrs. (surnames) Mesdames (surnames) ⁴ Misses (full names)	Gentlemen or Sirs: Mesdames: Dear Misses (surnames): Sincerely,

¹ Use the title Mr. when it is not known from the first name or initials whether the addressee is a man or woman.

² Use the title Ms. rather than Mrs. in addressing a woman if there is uncertainty about her marital status.

³ When more than three persons have written jointly, prepare individual replies or address the reply to the appropriate signer and mention the other signer in the first paragraph.

⁴ Used for married women or for married and single women.

AP5.1.18. FORMER GOVERNMENT OFFICIALS

<u>ADDRESSEE</u>	<u>ADDRESS ON LETTER AND ENVELOPE</u>	<u>SALUTATION AND COMPLIMENTARY CLOSE</u>
Former President	Honorable (full name) (Local address)	Dear President (surname): Sincerely,
Former Vice President	Honorable (full name) (Local address)	Dear Mr. (surname): Sincerely,
Former Member of the Cabinet addressed as "Secretary"	Honorable (full name) (Local address)	Dear Mr. Secretary: Sincerely,
Former Attorney General	Honorable. (full name) (Local address)	Dear Mr. Attorney General: Sincerely,
Former Secretary of a Military Department	Honorable. (full name) (Local address)	Dear Mr. (surname): Sincerely,

Former Postmaster General	Honorable. (full name) (Local address)	Dear Mr. Postmaster General: Sincerely,
Former Senator	Honorable. (full name) (Local address)	Dear Senator (surname): Sincerely,
Former Representative	Honorable. (full name) (Local address)	Dear Representative (surname): Sincerely,
Former Justice	Honorable. (full name) (Local address)	Dear Mr. Justice: Sincerely,
Former Judge	Honorable. (full name) (Local address)	Dear Mr. Justice: Sincerely,

AP6. APPENDIX 6MISCELLANEOUS EXAMPLES

AP6.1.1. This appendix will be used to provide examples of common formats for the passage of information or requests for approval for various inter- and intra-agency matters. It includes such items as: Schedule Proposals for the Secretary and Deputy Secretary of Defense; Requests for Military Transportation for Senior OSD Component Personnel; Requests for NSC Approval for Foreign Travel of DoD Officials; Requests for Dual Absence of Senior Executives; Flag Officer Press Releases, etc. Additions, deletions or changes to these examples will be disseminated as they occur.

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AP6.A1. ATTACHMENT 1 TO APPENDIX 6
REQUEST FOR MILITARY TRANSPORTATION

AP6.A1.1.1. Requests for military transportation for senior OSD Component personnel should be addressed to the Executive Secretary for approval and should be sent/delivered to the Correspondence Control Division, C&D, for control and processing. No covering ACTION MEMORANDUM is required.

AP6.A1.1.2. Requests for stateside travel should be submitted at least seven (7) working days prior to the travel date to allow for Executive Secretary action and processing and scheduling by C&D.

AP6.A1.1.3. Requests for overseas travel should be submitted at least two weeks before the travel date to allow for Executive Secretary and DUSD (Logistics) processing and scheduling.

AP6.A1.1.4. Requests for team travel (nine or more personnel) must be submitted a minimum of 30 days in advance of the travel date.

AP6.A1.1.5. Use of military air transportation will only be approved when it meets the requirements as detailed in Deputy Secretary of Defense's memorandum of 1 October 1995. All requests for military air transportation must be signed by the senior traveler, not the military assistant, and must clearly indicate the costs involved.

AP6.A1.1.6. All requests by OSD and Defense Agency personnel for upgraded seating must be pre-approved by the Executive Secretary, regardless of whether or not the tickets are obtained through the OSD Travel Office. Upgrade to business class seating requires an OCONUS leg on the trip, 14 hours travel without a rest period, crossing of three time zones, and work immediately upon arrival. The use of a doctor's statement to justify an upgrade is also acceptable in certain cases. The more current and the more specific the statement is, the more likely it is that the request will be approved. Again the senior traveler must sign the request for upgrade, and the increase in cost must be clearly identified.

AP6.A1.1.7. After Executive Secretary approval of a travel request, C&D staff officers will act as liaison for scheduling any local (D.C. area) helicopter flight support with the appropriate Service airlift office. Approved helicopter flight support outside the D.C. area must be scheduled by the traveller with the installation to be visited. Requesting offices will receive a copy of their request for

transportation from C&D reflecting approval or disapproval as well as a telephone call as arrangements are being worked with the appropriate Service for support. Requesting offices should work directly with the DUSD (Logistics) (703-697-7288) on fixed wing and overseas travel. Requesting offices should work directly with the Army (703-608-7074) or Air Force (703-695-3411) fixed wing airlift offices on all team travel.

AP6.A1.1.8. Following is an example of a properly prepared request for military transportation:

[OFFICE LETTERHEAD]

MEMORANDUM FOR THE EXECUTIVE SECRETARY

THROUGH: (DETERMINED BY REQUESTOR)

SUBJECT: Request for Military Transportation

Traveler(s)

[Senior traveler first; full name, title, DV Code, SSN]

[Other travelers; full name, title, grade, SSN]

Itinerary

- Andrews AFB, MD to Philadelphia, PA (Smith Airport*);
Arrive NLT 0745 hours*, 13 January 1993

- Philadelphia, PA (Smith Airport*) to Andrews AFB, MD;
Depart 0900 hours**, 14 January 1993

*Indicate airport/helicopter location

**Indicate fixed/required time, either arrival or departure

Remarks

[State purpose of trip.]

[Statement as to why commercial travel is inappropriate or more expensive.]

[Always include the following certification: "This travel meets the criteria of the Deputy Secretary of Defense memorandum of 1 October 1995, Subject: DoD Policy on the Use of Government Aircraft and Air Travel."]

[Include a Point of Contact (not traveling) with home and office phone. Provide a Point of Contact and telephone number at the destination, Autovon and direct dial.]

(Signed by Principal traveler or above)

Approved _____

Disapproved _____

AP6.A2. ATTACHMENT 2 TO APPENDIX 6

FOREIGN TRAVEL BY DOD OFFICIALS

AP6.A2.1.1. The Executive Secretary acts as liaison between the Department of Defense and the Assistant to the President for National Security Affairs on all foreign travel.

AP6.A2.1.2. Requests for travel to a foreign country should be forwarded to the Executive Secretary under cover of an ACTION MEMORANDUM requesting signature and forwarding to the National Security Council.

AP6.A2.1.3. All requests should be forwarded to the Executive Secretary at least ten work days in advance of the intended travel.

AP6.A2.1.4. Following is an example of a properly prepared request to be signed by the Executive Secretary:

(LETTERHEAD)

(Date)

MEMORANDUM FOR THE ASSISTANT TO THE PRESIDENT FOR NATIONAL
SECURITY AFFAIRS

SUBJECT: Foreign Travel by DoD Officials

In accordance with established guidance on foreign travel by U. S. officials, the President's approval is requested for a proposed trip by _____.

(Traveler's name) will visit (country) (date). The purpose of (traveler's name) visit is to (explain purpose of trip).

(Traveler's name) tentative itinerary is as follows:

(Date)	(En route - destination)
(Date)	(Specifics of itinerary); (Meet with.....); (Visit.....).
(Date)	(En route - return)

(Name)
Executive Secretary

NSC Approval _____

AP6.A3. ATTACHMENT 3 TO APPENDIX 6

REQUEST FOR DUAL ABSENCE

AP6.A3.1.1. The Secretary of Defense requires that all major OSD Components have an "acting" designee in the event of an emergency or crisis situation. If the principal OSD Component head plans to be absent from the Washington area, the principal assistant or deputy should remain. If it becomes essential for both the principal and the principal assistant or deputy to be absent at the same time, approval by the Deputy Secretary of Defense must be obtained before permanent plans are made.

AP6.A3.1.2. Requests for dual absence should be forwarded to the Deputy Secretary using an ACTION MEMORANDUM.

AP6.A3.1.3.. Following is a sample of a properly prepared request for dual absence:

(OFFICE LETTERHEAD)

(Date)

MEMORANDUM FOR THE DEPUTY SECRETARY OF DEFENSE

THROUGH: (APPROPRIATE OSD PRINCIPAL)

FROM: ASSISTANT SECRETARY OF DEFENSE (---)

SUBJECT: Dual Absence - ACTION MEMORANDUM

PURPOSE: Request permission for dual absence for the Assistant Secretary of Defense [---] and the Principal Deputy.

DISCUSSION: I will be on vacation from Monday, 1 January 1995 to 7 January 1995. My Principal Deputy, [Name], will be acting ASD(---). [Name] will be at Patuxent River, Maryland for training on January 4 from 0730 to 1630. [Name], DASD(---), will be acting ASD (---) during this absence.

RECOMMENDATION: Approval

(Signature of Principal)

Approval: _____

Disapproval: _____

AP6.A4. ATTACHMENT 4 TO APPENDIX 6

FLAG OFFICER PUBLIC AFFAIRS ANNOUNCEMENTS

AP6.A4.1.1. Announcements are prepared by the Service at the time the nomination begins processing through the Chairman of the Joint Chiefs of Staff.

AP6.A4.1.2. Announcements must be forwarded in hard copy and on a disc along with the nomination package to C&D for OSD staffing.

AP6.A4.1.3. When flag officer nominations have been signed by the President, the C&D works with the Service concerned to ensure appropriate public affairs announcements are made.

AP6.A4.1.4. Sample flag officers announcements with page spacing guidance follow:

IMMEDIATE RELEASE

No.
(703) 697-5131 (media)
(703) 697-3189 (copies)
(703) 697-5737 (public/industry)

GENERAL OFFICER ANNOUNCEMENT

Secretary of Defense [insert name] announced today that the President has nominated [insert rank, name, branch of Service] for appointment to the grade of [insert rank] with assignment as [insert position title and location.] [Insert name] is currently serving as [insert present position title and location].

[Insert name] was born [insert date, location.]

-END-

[Note: This format is used for promotion announcements to three and four stars. Use 12 pitch type with 2 1/2" top margin, 1" side margins, indent paragraphs five spaces.]

No.

MEMORANDUM FOR CORRESPONDENTS

Secretary of Defense [insert name] announced today that the President has nominated
{Brigadier General Joseph J. Roebuck, United States Air Force,} for promotion to Major General.

{General Roebuck} is currently assigned as [insert job title and location].

-END-

[NOTE: This format is used for promotion announcements to one and two stars when only one name is being released. Use 12 pitch type with 1 1/2" top margin, 1" side margins, indent paragraphs five spaces. The name should be incorporated in the introductory paragraph as shown in the above example.]

No.

MEMORANDUM FOR CORRESPONDENTS

Secretary of Defense [insert name] announced today that the President has nominated the following officers for promotion to [one star or two star rank]:

NAME

CURRENT ASSIGNMENT

[Insert last name in upper case, first name and middle initial in lower case:

MARHSALL, Douglas M.]

[Insert position title and location]

-END-

[This format is used for promotion announcements to one and two stars when there are more than one individual. List individuals alphabetically. Use 12 pitch type with 1 1/2" top margin, 1" side margins, indent paragraphs five spaces.]

No.

MEMORANDUM FOR CORRESPONDENTS

Secretary of Defense [insert name] announced today that the President has nominated the following officers for promotion to [one star and two star rank]:

REAR ADMIRAL (LOWER HALF)

[Insert last name in upper case, first name and middle initial in lower case: i.e., MOON, Alan B.]

[Insert current position title and location]

REAR ADMIRAL

[Insert last name in upper case, first name and middle initial in lower case: i.e., CURRY, Lawrence E.]

[Insert current position title and location]

-END-

[This format is used for promotion announcements to one and two stars when there are more than one individual and promotions are for individuals of both ranks. List individuals alphabetically for each rank. Use 12 pitch type with 1 1/2" top margin, 1" side margins, indent paragraphs five spaces.]

AP6.A5. ATTACHMENT 5 TO APPENDIX 6

SECRETARY AND DEPUTY SECRETARY OF DEFENSE SCHEDULE
REQUESTS

AP6.A5.1.1. All schedule requests for the Secretary and Deputy Secretary should be submitted to the Executive Assistant to the Principal concerned. Tentative schedulings made by telephone with the Executive Assistant to either the Secretary or Deputy Secretary should be immediately followed by a formal schedule request to the appropriate Executive Assistant.

AP6.A5.1.2. Schedule requests should be processed through the CCD in an original and three copies. Short-fused requests may be hand-carried directly to the Executive Assistant to the Secretary or Deputy Secretary of Defense (as appropriate).

AP6.A5.1.3. Following is the format and information required to submit schedule requests to the Secretary and Deputy Secretary of Defense. Use fields below "Reason/Purpose" as appropriate to the schedule request.

(LETTERHEAD)

(Date)

SCHEDULE PROPOSAL

TO: (NAME), EXECUTIVE ASSISTANT TO THE (POSITION)

THROUGH: (Reporting chain, as appropriate)

FROM: (Executive Level or equivalent official's name, title and phone number)

REASON/PURPOSE: (This line should indicate "SecDef has agreed to meet with/speak to..." **OR**, Brief description of purpose of meeting, such as to inform the SecDef on a subject, reach a decision on a subject, satisfy a Congressional request for a meeting, etc.)

BACKGROUND: (Information on the subject and participants)

PREVIOUS PARTICIPATION: (Previous participation, if any, in this type of event or with this person or group; if for protocol, Congressional or public event; otherwise "Not Applicable")

DATE AND TIME: (Proposed date(s) and time(s); duration)

LOCATION: (Where event will occur)

PARTICIPANTS: SecDef (List of other participants; attach separate list if lengthy)

OUTLINE OF EVENTS: (Brief description of sequence of events; e.g., awardees are escorted to office; brief remarks; present award(s); awardees are escorted from office)

REMARKS REQUIRED: (Indicate if speech is required, brief remarks, or none. State whether originating office or Public Affairs speechwriters should prepare remarks)

MEDIA COVERAGE: (Usually none, or DoD Official Photographer Only. If public media are invited, indicate types of coverage (TV, live or tape), photographers, press)

CONTACT: (List names and phone number of DoD POCs)

COORDINATION: (List DoD officials who concur; nonconcur and why)

(POSITION) DECISION:

Hold Open _____ Approve _____ Decline _____ Other _____

AP7. APPENDIX 7OSD/WHS ADMINISTRATIVE OFFICERS

As of February 1996

Executive Secretary, DoD
COL Robert McAleer, USMC, Rm 3E880
1030 Defense Pentagon
Washington, DC 20301-1020
FAX: 703-697-9080
Phone: 703-697-8388

USD (Comptroller)
Ms. Annetta White, Rm 3D841
1100 Defense Pentagon
Washington, DC 20301-1100
FAX: 703-697-7419
Phone: 703-697-8363

SECDEF Protocol
CAPT Dorothy Schott, USN, Rm 3E921
1000 Defense Pentagon
Washington, DC 20301-1000
FAX: 703-614-3200
Phone: 703-697-7064

Director, Program Analysis & Evaluation
Ms. Eileen Houska, Rm 2D321
1700 Defense Pentagon
Washington, DC 20301-1700
FAX: 703-693-5707
Phone: 703-697-9189

USD (Acquisition and Technology)
Ms. Ann Reese, Rm 3D1020
3010 Defense Pentagon
Washington, DC 20301-3010
FAX: 703-693-7023
Phone: 703-697-1816

ASD (Command, Control, Comm & Intel)
Mr. Frank Meadows, Rm 3E208
6000 Defense Pentagon
Washington, DC 20301-6000
FAX: 703-614-3942
Phone: 703-695-6549

USD (Policy)
Ms. Jan Irving, Rm 4D840
2000 Defense Pentagon
Washington, DC 20301-1000
FAX: 703-697-7680
Phone: 703-697-9458

ASD (Legislative Affairs)
Ms. Kay Rogers, Rm 3E966
1300 Defense Pentagon
Washington, DC 20301-1300
FAX: 703-697-5381
Phone: 703-695-1868

USD (Personnel and Readiness)
Ms. Bonnie Ramsey, Rm 3E763
4000 Defense Pentagon
Washington, DC 20301-4000
FAX: 703-697-8256
Phone: 703-695-2202

General Counsel, Department of Defense
Ms. Liz Wheeler, Rm 3D933
1600 Defense Pentagon
Washington, DC 20301-1600
FAX: 703-614-4432
Phone: 703-697-8343

Inspector General, Department of Defense
Mr. Bill Price
400 Army-Navy Drive
Arlington, VA 22202-2884
FAX: 703-604-8310
Phone: 703-604-8300

Budget and Finance, WHS
Mr. Joe Friedl, Rm 3B287
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-697-2951
Phone: 703-697-6760

Director, Operational Test & Evaluation
Ms. Annie Powell/Ms. Genise Gottschrack, Rm 3E333
1700 Defense Pentagon
Washington, DC 20301-1700
FAX: 703-614-8891
Phone: 703-695-1565/697-3655

Correspondence and Directives
Ms. Beverly Whitehead, Rm 3B946
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-695-1219
Phone: 703-697-8261

ATSD (Public Affairs)
Ms. Nancy Gorski, Rm 2E811
1400 Defense Pentagon
Washington, DC 20301-1400
FAX: 703-695-1149
Phone: 703-697-0792

Information Operations & Reports, WHS
Ms. Mary George, CG3, Suite 1204
1215 Jefferson Davis Highway
Arlington, VA 22202-4302
FAX: 703-604-6270
Phone: 703-604-4575

ATSD (Intelligence Oversight)
Ms. Sandy Mullins, Rm 1E765
7200 Defense Pentagon
Washington, DC 20301-7200
FAX: 703-614-1629
Phone: 703-695-9542

Personnel and Security, WHS
Mr. Al Papenfus, Rm 3B347
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-697-8333
Phone: 703-697-1703

ATSD (Personnel)
Ms. Sheila Heml, Rm 3D964
1020 Defense Pentagon
Washington, DC 20301-1020
FAX: 703-693-2090
Phone: 703-697-7968

Real Estate and Facilities, WHS
Mr. Walt Freeman, Rm 3C345
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-693-6807
Phone: 703-697-7241

Office of Economic Adjustment
Ms. Martha Sands
400 Army-Navy Drive, Suite 400
Arlington, VA 22202-2884
FAX: 703-604-5843
Phone: 703-604-6131

Federal Voting Assistance Office, WHS
Ms. Phyllis Taylor, Rm 1B946
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-693-5507
Phone: 703-695-9330

Office of the General Counsel, WHS
Mr. Don Perkal, Rm 1D197
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-697-1068
Phone: 703-693-7374

Organization & Mgmt Planning, WHS
Mr. Howard Becker, Rm 3A326
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-614-2447
Phone: 703-695-4278

POW/MIA Office
Mr. Charles Keating, Rm 4D835
1400 Defense Pentagon
Washington, DC 20301-1400
FAX: 703-602-1891
Phone: 703-602-2102, X190

Welfare and Recreation Association
Ms. Shelia Grafmueller, Rm 3C1055
1155 Defense Pentagon
Washington, DC 20301-1155
FAX: 703-614-2581
Phone: 703-695-5338

AP8. APPENDIX 8DIRECTORATE FOR CORRESPONDENCE AND DIRECTIVES FORMS AND
CORRESPONDENCE MANAGEMENT TOOLS

AP8.1.1. This appendix provides forms and tools used by the Correspondence Control Division in the control of Secretary and Deputy Secretary of Defense correspondence.

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AP8.A1. ATTACHMENT 1 TO APPENDIX 8

DUE OR OVERDUE CORRESPONDENCE LISTING

AP8.A1.1.1. The Correspondence Control Division (CCD) distributes a due and overdue correspondence report to OSD Components on Monday of each week. A complete copy of this listing is provided to the Executive Secretary with each MA/EA and Administrative Officer of the major OSD Components and Activities receiving a copy of the listing pertaining to their specific office(s). Following is a legend of the entries found on the report, and a sample page from the report. This report reflects all currently overdue correspondence as of the date the report is prepared and action items due within the next seven days.

AP8.A1.1.2. Each MA/EA and Administrative Officer should review this listing weekly and take appropriate action to complete taskings that are overdue, cancel/close taskings that have been completed but appear on the listing, and inquire about those of priority action that are working. See C1. CHAPTER 1 for detailed information regarding suspenses. Changes must be received in CCD not later than 1500 hours on Thursday in order to be reflected on the following Monday report.

AP8.A1.1.3. Cases remain open until the case/reply is signed and CCD receives a copy of the response or the action is completed/canceled via SD Form 391. The "Status" column of the report provides any CCD known action(s) regarding a particular case; extension, interim replies, pending signature, etc.

AP8.A1.1.4. The priority of actions assigned are:

AP8.A1.1.4.1. White House

AP8.A1.1.4.2. Secretary and Deputy Secretary notes

AP8.A1.1.4.3. Prepare Reply for Secretary (PRS) and Prepare Reply for Deputy (PRD)

AP8.A1.1.4.4. Congressionals

AP8.A1.1.4.5. All others

LEGEND FOR REPORT OF DUE OR OVERDUE CORRESPONDENCE

Report Date: (Date report is prepared)

As Of: (Due 7 days after Report Date)

CONTROL NUMBER	FROM	SUBJECT	TYPE ACTION	ACTION AGENCY	DATE OF CORRES	DATE RECD	SUSP DATE	STATUS
U _____ (Unclassified Case)	USS (Senator)	Brief subject	PRS (Prepare Reply for Secretary)	(Agency symbol)	(Date on Correspond- ence)	(Recd in OSD)	(Suspense Date)	IR - Interim Response)
X _____ (Classified Case)	MOC (Congressman)							EDC - (Estimated date of Completion)
W _____ (White House Case)	Individual Name		PRD (Prepare Reply for Deputy Secretary)					391 - Dates of any extensions, or other action
N _____ (NATO Case)	Company Name		RD (Reply Direct - Provide Cy to CCD)					Awaiting Signature SD or DSD
			FAA (For Appro- priate Action) - (advise CCD via SD 391 and/or cy)					"Request for Status to (Action Agency) (date)" - case overdue and date of last report sent to action agency
			C&R - Comments & Recommendations					
			AMN - Answer Military Assistant Note					No entry in column indicates due as of the above "As Of" date
			ASN - Answer Secretary Note					
			ADN - Answer Deputy Note					

Note: Cases are not closed until signed or approved.

Report Date: 3/8/96

Report of Due or Overdue Correspondence

As of: 3/11/96

Control Number	FROM	SUBJECT	TYPE ACT	ACT AGY	DOC	DOR	SUSPENSE DATE	STATUS
U41444-95	MOC MCHUGH, J	HIGH AMOUNT OF FUNDING AND EMPHASIS PLACED ON RATION CONTROL PROCEDURES FOR U.S. FORCES IN KOREA	RD	UPR	9/25/95	10/ 2/95	11/28/95	ACT CHG JCS 101395 UPR/DWNGRD 111395
X74204-95	CIA SAVOY	REQUEST FOR EXTENSION U.S. ARMY NONCOMMISSIONED OFFICER	FAA	UPR	7/31/95	8/ 9/95	11/30/95	ES REVIEW EXT 030796 IR 1005 ORG SUS 0914 EXT. APV 1106 DISAPV ES391 1213 0215
U44653-95	MOXLEY, J	MEDICAL READINESS	PRD	UPR	12/ 1/95	12/ 8/95	12/22/95	AWAIT SD SIG U02108-96 021596
U00273-96	SA WEST	EXTREMIST GROUP ACTIVITY	C&R	UPR	1/ 3/96	1/11/96	1/19/96	EXT DISAPV ES391 012596
U41462-95	STATE BRILL	REQUEST DOD PROVIDE ONE MILITARY ANALYST TO THE INTERNATIONAL TRIBUNAL FOR THE FORMER YUGOSLAVIA	FAA	UPR	9/30/95	10/ 2/95	1/31/96	ES REVIEW EXT 021296 ORG SUS 110795 EXT APV 113095 012296

AP8.A2. ATTACHMENT 2 TO APPENDIX 8CORRESPONDENCE CONTROL DIVISION DI/TRIGRAPHS

WASHINGTON HEADQUARTERS SERVICES
Correspondence Control Division, 3A948, Ext. 695-9717
"Official Digraphs/Trigraphs"
March 1, 1996

OFFICE TITLES WITH DI/TRIGRAPHS USED BY C&D COMPUTER TRACKING SYSTEM. **Highlighted Digraphs/Trigraphs** will appear under the "Action Agency" on CCD reports. Other offices will be written or stamped on the SD Form 14 and reports generated as required.

OFFICE OF THE SECRETARY OF DEFENSE

SD SECRETARY OF DEFENSE
DSD DEPUTY SECRETARY OF DEFENSE
TSA THE SPECIAL ASSISTANT
ES EXECUTIVE SECRETARY
ESR ES Interagency
PRO Protocol

USA UNDER SECRETARY FOR ACQUISITION & TECH
ACT PDUSD (Acquisition & Tech)
ADT PDUSD (Advanced Tech)
AQR DUSD (Acquisition Reform)
AQO DUSD (Acquisition Operations)
AES DUSD (Environmental Security))
ALO DUSD (Logistics)
ECS ASD (Economic Security)
DRE Director, Defense Research & Engineering
SBU Director, Small & Disadvantaged Business Utilization
NCB ATSD (Nuclear and Chemical and Biological Defense Programs)
NWC Nuclear Weapons Council
DSB Defense Science Board
OEA Office of Economic Adjustment

USP UNDER SECRETARY FOR POLICY
PDP PDUSD(Policy)
PPP DUSD (Policy Planning)
PPS DUSD (Policy Support)
PSP DUSD (Security Policy)
PTP DUSD (Trade Security Policy)
ISA ASD (International Security Affairs)
ISP ASD (International Security Policy)
SRA ASD (Strategy & Requirements)
SOL ASD (Special Operations & Low-Intensity Conflict)
NA Director, Net Assessment
DAN Defense Advisor, US Mission to NATO
DPB Defense Policy Board
DDC DoD Coordinator for Drug Enforcement Policy & Support
DTS Defense Technical Security Administration
MIA Defense POW/MIA Office

COM UNDER SECRETARY (COMPTROLLER)
PAE Director, Program Analysis & Evaluation
PIM Office of Performance Improvements and Management Reengineering

UPR UNDER SECRETARY FOR PERSONNEL AND READINESS
DUR DUSD (Readiness)
HA ASD (Health Affairs)
MAN ASD (Force Management Policy)
RA ASD (Reserve Affairs)
CPP DASD (Civilian Personnel Policy)
EO DASD (Economic Opportunity)
MPP DASD (Military Personnel Policy)
SFE DASD (Personnel Support, Families & Education)
DRR DASD (Requirements & Resources)
RPB Reserve Forces Policy Board
CHM Civilian Health & Medical Program of the Uniformed Service
OEA Office of Economic Adjustment

C3I ASD (Command, Control, Communications & Intelligence)

LA ASD (Legislative Affairs)

PA* ATSD (Public Affairs)
AFS Armed Forces Information Service

IO ATSD (Intelligence Oversight)

OTE Director, Operational Text & Evaluation

GC General Counsel, DoD

IG Inspector General, DoD

ADM Director, Administration & Management

MILITARY DEPARTMENT

SA SECRETARY OF THE ARMY
CSA Chief of Staff of the Army
SN SECRETARY OF THE NAVY
SAF SECRETARY OF THE AIR FORCE

JOINT CHIEFS OF STAFF

JCS CHAIRMAN
DJS Director, Joint Staff

DEFENSE AGENCIES

ARP Advanced Research Projects Agency
BDM Ballistic Missile Defense Organization
CIO Central Imagery Office
DCM Defense Commissary Agency

CAA Defense Contract Audit Agency
DFS Defense Finance & Accounting Service
DSA Defense Information Systems Agency
DIA Defense Intelligence Agency
DIS Defense Investigative Service
DLS Defense Legal Services Agency
DLA Defense Logistics Agency
DMA Defense Mapping Agency
DNA Defense Nuclear Agency
SAA Defense Security Assistance Agency
NSA National Security Agency/Central Security Agency
OIA On-Site Inspection Agency

Other

AAE - Army-Air Force Exchange Service
ATD - Assistant to Deputy
ATS - Assistant to Secretary
CPM - Civilian Personnel Management Service
DPR - Defense Performance Review
IGA - Intergovernmental Affairs
NRO - National Reconnaissance Office
WHS - Washington Headquarters Services

*When confirmed, will be an ASD.

AP8.A3. ATTACHMENT 3 TO APPENDIX 8

SECRETARY OF DEFENSE ROUTING SLIP (SD FORM 14)

SECRETARY OF DEFENSE ROUTING SLIP		ACT COPY	INFO COPY		ACT COPY	INFO COPY
OFFICE OF THE SECRETARY OF DEFENSE				MILITARY DEPARTMENTS		
SECRETARY OF DEFENSE				SECRETARY OF THE ARMY		
DEPUTY SECRETARY OF DEFENSE				SECRETARY OF THE NAVY		
THE SPECIAL ASSISTANT				SECRETARY OF THE AIR FORCE		
EXECUTIVE SECRETARY				JOINT CHIEFS OF STAFF		
UNDER SEC FOR ACQUISITION & TECHNOLOGY				CHAIRMAN		
Director, Defense Research & Engineering				Director, Joint Staff		
ASD (Economic Security)				DEFENSE AGENCIES		
UNDER SECRETARY FOR POLICY				ADVANCED RESEARCH PROJECT AGENCY		
ASD (International Security Affairs)				BALLISTIC MISSILE DEFENSE		
ASD (International Security Policy)				CENTRAL IMAGERY OFFICE		
ASD (Special Operations/LIC)				DEFENSE COMMISSARY AGENCY		
ASD (Strategy & Requirements)				DEFENSE CONTRACT AUDIT AGENCY		
UNDER SEC FOR PERSONNEL & READINESS				DEFENSE FINANCE & ACCOUNTING		
ASD (Force Management)				DEFENSE INFORMATION SYSTEMS AGENCY		
ASD (Health Affairs)				DEFENSE INTELLIGENCE AGENCY		
ASD (Reserve Affairs)				DEFENSE INVESTIGATIVE SERVICE		
COMPTROLLER				DEFENSE LEGAL SERVICES AGENCY		
Director, Program Analysis and Evaluation				DEFENSE LOGISTICS AGENCY		
ASD (C3I)				DEFENSE MAPPING AGENCY		
ASD (Legislative Affairs)				DEFENSE NUCLEAR AGENCY		
GENERAL COUNSEL				DEFENSE SECURITY ASSISTANCE AGENCY		
INSPECTOR GENERAL				NSA/CENTRAL SECURITY SERVICE		
DIR, OPERATIONAL TEST & EVALUATION				ON-SITE INSPECTION AGENCY		
DIR, ADMINISTRATION & MANAGEMENT						
ATSD (Public Affairs)						
TYPE OF ACTION REQUIRED						
PREPARE REPLY FOR SEC OF DEF SIGNATURE				COMMENTS AND/OR RECOMMENDATIONS		
PREPARE REPLY FOR DEP SEC OF DEF SIGNATURE				INFORMATION AND RETENTION		
REPLY DIRECT (Forward copy of reply to CCD, Room 3A948)				COORDINATE REPLY WITH		
APPROPRIATE ACTION						
REMARKS						
ACTION DUE DATE (YYMMDD)		ROUTING DATE (YYMMDD)		OSD CONTROL NUMBER		

SD FORM 14, MAY 94

PREVIOUS EDITIONS ARE OBSOLETE.

Designed using Perform Pro, WHS/DIOR, May 94
Overprint approved by OSD/WHIS/DIOR, May 94

AP8.A4. ATTACHMENT 4 TO APPENDIX 8

REPORT ON SECRETARY OF DEFENSE CORRESPONDENCE (SD FORM 391)

SECRETARY OF DEFENSE CORRESPONDENCE ACTION REPORT This form must be completed and delivered to the Correspondence Control Division (CCD), WHS Room 3A648, not later than (YYMMDD)		1. DATE (YYMMDD)	
2. ACTION TAKEN (X one) a. ACTION HAS BEEN COMPLETED (Copy attached) <input type="checkbox"/> b. REQUEST CANCELLATION / EXTENSION OF SUSPENSE DATE TO _____ (Justify below) <input type="checkbox"/> c. INTERIM REPLY HAS BEEN SENT (Copy attached)			
3. JUSTIFICATION			
4. REPORTING AGENCY			
a. ACTION AGENCY	c. TELEPHONE NO.	e. APPROVING MILITARY / EXECUTIVE ASSISTANT (Service Secretary / Under Secretary / ASD Level)	
b. NAME OF ACTION OFFICER	d. DATE (YYMMDD)	Signature	Date Signed
5. CCD CONTROL		6. ACTION TAKEN (For Correspondence Control Division Use Only)	
		a. EXTENSION / CANCELLATION	Approved Disapproved
		b. OTHER (Specify)	

SD FORM 391, AUG 87

Previous editions are obsolete.

ELECTRONIC FORM EXCEPTION APPROVED BY WHS/DIOR, MAR 99

1. Self-explanatory.
2. a. Check block and attach a copy of the completed action.
 b. Check block and indicate whether "cancellation" or an "extension" is being requested. If cancellation, explain in Item 3, Justification. If extension, fill in the requested date and explain in Item 3 the reason for requesting the extension. SD Forms 391 received after a requested extension date will be returned without action.
 c. Check block and attach a copy of the interim reply.
 Note: You may also use this form to request a downgrade. Downgrades must be approved by the Executive Secretary in advance of such action. Request an extension date, if appropriate, and state in Item 3 why the action should be downgraded. Upgrades do not require prior approval or the submission of a SD Form 391.
3. Justifications should be concise and to the point. If an extension is being requested, sufficient information must be provided on which the Executive Secretary can base a decision. If canceling an action, do not use "overcome by events" (OBE) without stating why the action is OBE and do not use "reply not necessary" without a explanation.
4. Self-explanatory. SD Form 391 will be returned if not signed at the appropriate OSD level.
5. Self-explanatory.
6. Self-explanatory.